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ABSTRACT

This document reports on a study conducted in Wisconsin to determine the relative incidence of evaluations of high school principals by boards of education, the degree of formality of these evaluations, and the sources of information and/or criteria used. Results determined that evaluation of high school principals by school boards occurs on a random basis and is formal or informal only by chance. The results further showed no significant difference between boards in the kinds or degree of formality or the sources of information or criteria used. The study indicated a need to know more about the phenomenon of high school principal evaluation and the principal-board relationship. The list of criteria and information sources needs to be reexamined for possible omissions and for its value to boards. Board knowledge of the evaluation process also needs improvement. A three-page bibliography is included. Extensive appendices provide copies of (1) the survey form used, (2) letters of transmittal, (3) tables to record survey data, (4) critical values of "chi square" and of "t", (5) a table to enter data for hypotheses, and (6) a table showing the criteria and sources of information used to evaluate the high school principal. (IW)

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EVALUATION OF HIGH SCHOOL PRINCIPALS
BY
BOARDS OF EDUCATION

J. Gary Lilyquist
University of Wisconsin-Superior, 1986

The purpose of the study was to determine whether or not a significant number of boards of education evaluated the high school principal. If so, were the evaluations formal or informal? The third purpose was to determine; what were the sources of information and/or criteria used to evaluate the high school principal by the boards of education?

The survey was sent to school board presidents of eighty-one school districts with a population of 700 students or less, which, had a high school principal responsible for grades 7-12, 8-12, 9-12, or 10-12 in the State of Wisconsin. Seventy-seven percent of the surveys were returned.

From the hypotheses tested, it was determined that boards of education do evaluate high school principals on a random basis. Secondly, if boards of education do evaluated it is by chance that the evaluation will be formal or informal. Third, there is statistically no significant difference between boards of education in the sources of information or criteria used to evaluate the high school principal. Fourth, there was no significant difference between boards of education formally and informally evaluating the high school principals in the number of sources of information or criteria used.

Recommendations were made to promote future studies in the area of high school principal evaluation to improve the educational process.

EA 018 643

EVALUATION OF HIGH SCHOOL PRINCIPALS

BY

BOARDS OF EDUCATION

A Thesis

Presented to

The Graduate Faculty

University of Wisconsin-Superior

In Partial Fulfillment

of the Requirements for the Degree

Specialist in Education

in

Educational Administration

July, 1986

by

J. Gary Lilyquist

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DEDICATION

This study is dedicated to my wife Rhonda and son Jeremy.

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CHAPTER I

Introduction

The board of education role in the evaluation of the high school principal did not appear to follow the bureaucratic model of management in all school districts. In a theoretical model, boards of education delegated the responsibility of management to a superintendent charged with the operation of the school district. Policies set by the board of education informed the superintendent and all other employees what it was that the board of education wanted done and why. The superintendent was responsible for giving direction to principals and supervisors to operate the district. Principals and supervisors in turn gave directions to staff members under them. The theoretical model was developed to help insure orderly operation of the school district.

In the theoretical model, the term, "chain of command", was used to describe how evaluation should have taken place. Starting at the bottom of the chain for the professional staff, teachers were held accountable to the building principal. The building principal was held accountable to the superintendent and the superintendent to the board of education. The board of education was held accountable to the school district electors and the state department of education. For example, the principal was responsible for giving the teachers direction and subsequently evaluating teacher performance. In the theoretical model, the chain of command would have been violated if the superintendent

evaluated teachers. Theoretical models supported the chain of command concept for school district operations but were not always followed.

Boards of education, superintendents, principals and teachers did not always follow a theoretical model. The term operational model was used to describe what did take place in the operation of the school district. With this discrepancy between the theoretical and operational models district employees were concerned as to who was responsible for what and to whom? The high school principal was no exception; when boards of education did evaluate high school principals, the basis of evaluation was a major concern. Were the criteria for the evaluation the enforcement of school policy, perception of school operation, directives given them by the superintendent, popularity with the public, popularity with staff, test scores of students, or others? Was there a formal plan of evaluation written to help improve the high school principal's performance, or was it informal evaluation, verbally given at a board of education meeting or during other contacts? In exemplary practice, the operational model and the theoretical model should have been similar.

Boards of education had the authority to establish the chain of command appropriate for their school district and it was not the intent of this research to undermine the board of education's authority. This authority included evaluating anyone on their staff regardless of where the individual was in the chain.

Statement of the Problem

Evaluation should have had a positive effect on the high school principals performance to improve the operation of the school district. To insure a positive outcome, the board of education should have used a

formal evaluation process. The process of evaluation should have set the criteria and source of information used for the evaluation. It appeared that some high school principals did not feel that established criteria were used in the evaluation process. The sources of information should have been objective in nature and not subjective. In bureaucratic models of supervision objective measures were concrete. Concrete measures appeared to have been such criteria as student test scores, successful implementation of a new curriculum, or the number of public relation articles written. This type of measure appeared to be specific so the high school principal may have known if he/she met the board of education's expectations. Subjective measures had appeared to be the perception of the person doing the evaluation. Perceptions may have been stated as I heard, I think, or I thought, which were measures that may have been personal in nature. It appeared difficult to determine if the high school principal had met the board's expectations.

Purpose of the Study

It was the purpose of this study to determine:

1. If a significant number of the Boards of Education had violated the bureaucratic model of school organization.
2. If a significant number of boards of education had used an informal method of evaluation to evaluate the high school principal.
3. What were the sources of information and/or criteria used to evaluate the high school principal by the boards of education?

In order to accomplish these purposes, the following questions were proposed and hypotheses were applied:

1. Did a significant number of boards of education evaluate the high school principal?

2. If "yes" to question number 1 was the evaluation formal or informal?
3. Which of the following sources of information and/or criteria were used in evaluation of the high school principal?

Sources of Data Used for Evaluation

- A. The number of positive or negative comments received from parents or community members.
- B. The number of positive or negative comments received from students.
- C. The number of positive or negative comments received from teachers.
- D. The number of positive or negative comments received from support staff (secretaries, janitors, cooks, bus drivers, aides).
- E. The number of hours the principal's willing to work.
- F. Superintendents formal or informal evaluation of principal.
- G. The number of conflicts the principal creates.
- H. Personality.
- I. Groomed appearance.
- J. Moral character.
- K. Family life.
- L. Community and civic involvement.
- M. Respect or trust board has for principal.
- N. Knowledge of methods of teaching.
- O. Knowledge of current educational improvements.
- P. Long range plans for curriculum changes.
- Q. Student test scores on national and state test.
- R. Ability to improve curriculum.
- S. Ability to recognize problems with the instructional program.
- T. Students ability to compete in academic competition.
- U. Students ability to compete in athletic competition.

- V. Ability to improve and/or maintain school social climate.
- W. Ability to manage school facilities.
- X. Ability to manage student discipline within the school.
- Y. Number of conflicts with parents.
- Z. Number of conflicts with students.
- AA. Number of conflicts with teachers.
- AB. Number of conflicts with support staff.
- AC. Number of conflicts with superintendent.
- AD. Number of conflicts with board of education.
- AE. Ability to work with groups.
- AF. Ability to work face to face with people.
- AG. Ability to promote cooperation among employees.
- AH. Ability to solve problems and manage conflict.
- AI. Ability to predict outcome of change or conflict situations.
- AJ. Ability to delegate duties.
- AK. Ability to improve teacher performance.

Hypotheses were tested to answer question one.

1. All boards of education evaluated the high school principal.
2. No board of education evaluated the high school principal.
3. Evaluation of the high school principal by boards of education was random.

Hypotheses were tested to answer question two.

4. All boards of education answering "yes" to evaluating the high school principal did so formally.
5. All boards of education answering "yes" to evaluating the high school principal did so informally.
6. Whether or not the boards of education evaluated the high school principal formally or informally it was due to chance.

Hypotheses were tested in answer to question three.

7. Boards of education which formally evaluated the high school

principal used the same number of sources as boards of education informally evaluating the high school principal.

8. For Data Used for Evaluation (A-AK) the relative importance of the items is the same for boards of education formally evaluating the high school principal as for boards of education informally evaluating.

Limitations of the Study

This study was limited to public school districts in the State of Wisconsin with student enrollment of 700 or less during a period of time July 1, 1985, to June 30, 1986. Enrollments were determined by reports sent to the Wisconsin Department of Public Instruction by the school district offices. Enrollment figures included all students in grades K-12. This limited the study to districts which were then considered smaller school districts in the State of Wisconsin.

Each school district had to have a high school principal that met the following criteria. They were responsible for administering only the following combinations of grades 7-12, 8-12, 9-12, or 10-12. Every attempt was made to insure that the principal met the criteria, but the study was subject to errors in records and the board presidents perception of the principals evaluation by the board of education.

All data collected on source of information used to evaluate the high school principal were perceptions of the board president that completed the survey.

Definition of Terms

For the convenience of the reader and so that terms used in this paper would be more easily understood in their proper context, the following definitions were applied:

Accountability. Subject to giving account of his/her actions to a superior.

Board of Education. The school district agency which the statutes of the state or commonwealth place responsibility for conducting the local public education system. Individual members have no authority unless it is delegated to them; power being vested in the board only when it acts as a body.¹

Bureaucratic. A hierarchical level of management with superordination over a subordinate.

Formal Evaluation. A written form of communication that was given to a subordinate to inform the subordinate of his/her job performance positive or negative.

Informal Evaluations. Any verbal communication that was given to a subordinate to inform the subordinate of their job performance positive or negative.

High School Principal. An administrative and supervisory office in charge of a high school consisting of grades (7-12), (8-12), (9-12) or (10-12).

Operational Pattern. Behavioral characteristics of participants in a formal organization that did not follow bureaucratic organization.

Source of Information. Any form of communication, (verbal, visual or perceived) to a board of education member that was used as information to evaluate the high school principal.

Theoretical Model. A hierarchy organizational structure.

Significant Others. A set including one or more of the following groups or persons (parents, students, teachers, and board members).

¹
Carter V. Good, DICTIONARY OF EDUCATION (St. Louis; McGraw-Hill Book Company, 1973), p.152.

CHAPTER II

REVIEW OF LITERATURE

This chapter contains a review of literature related to evaluation of the high school principals. A major emphasis was placed on reviewing information related to the phenomenon of board of education evaluation of high school principals. Due to a lack of information related to this phenomenon the following areas were briefly reviewed: school organization, view of principal by boards of education, and effective principals. An extensive review was done in the area of evaluation of school administration, high school principals, principal, methods and models of evaluation. In reviewing the literature, it was apparent that evaluation of high school principals by boards of education is not the norm.

Bureaucratic Model of School System Organization

Bureaucracy remains a part of the image of most educational organizations, its advocates work diligently to incorporate principles of order and certainty.¹

The German sociologist Max Weber proposed a pure form or idealization of an organization which he called bureaucracy. This idealization was in the form of a set of structural properties and characteristics such as hierarchy, division of work, rules and procedures. In the interest of efficiency, an organization should have a well-defined hierarchy of authority, with jobs and offices defined with reference to jurisdiction and location; a division of work based on functional specialization; a system of rules which spell out the rights and responsibilities of workers; a system of procedures for dealing with categories of activities within areas of responsibility; relationships characterized by impersonality; and a reward structure based on technical competence. It was assumed that all aspects of the organization, from its objectives, technical requirements, and work flow, to the details of its organizational structure, could be defined and organized into a permanent grand design.²

Max Weber did not invent bureaucracy; perhaps he did not really even discover it, but unquestionably, he rigorously defined, explained, and formulated it.³

James M. Lipham claimed, Max Weber indicated, the principle of hierarchy is the most commonly utilized means for channeling authority and responsibility in an organized manner.

William Monahan offered restatements of the Max Weber model:

In Weber's "ideal type," authority and status are clearly implicit. For Weber, the ideal bureaucracy incorporated a number of elements

¹ Thomas Sergiovanni, Martin Burlingame, Fred Coombs, and Paul Thruston, *EDUCATIONAL GOVERNMENT AND ADMINISTRATION* (Englewood Cliffs: Prentice-Hall, Inc., 1980), p. 51.

² Sergiovanni, *op. cit.*, p. 49.

³ William G. Monahan, *THEORETICAL DIMENSIONS OF EDUCATIONAL ADMINISTRATION* (New York: Macmillan Publishing Company, 1975), p. 147.

that altogether constitute a formal structure. He repeatedly emphasized the "form" of the structure and although he did not hold that any specific bureaucratic organization had to include all of the characteristics, the more that it did include, the more persistent it would be over time. There are five basic elements that taken together constitute the form of his ideal type: 1. HIERARCHICAL STRUCTURE. Each official in a higher office has control and supervision of an official in a lower office. 2. FUNCTIONAL SPECIALIZATION. Individual office holders are selected on the basis of their ability to perform particular tasks. 3. PRESCRIBED COMPETENCE. This is derived from number 2; it stipulated that each position in the hierarchy has particular and known rights and obligations attached to it (certification of such "status and ability" is a logical consequence). 4. FILES AND RECORDS. Pertinent acts, decisions, and so on should be recorded and retrievable to provide bases for the establishment of policy guides. This is essential for reducing alternatives and promoting predictability. 5. RULES OF BEHAVIOR. Unless there is a codified apparatus, the problem of unpredictability is omnipresent. Codes of behavior established through policies represent an essential process in the rational structure.⁵

Talcott Parson in viewing the hierarchy of the school may be more appropriately viewed as consisting of three system levels -
⁶
 institutional, managerial, and technical. In many facets of its operation therefore, the school consistently violates strict adherence
⁷
 to the principles of hierarchy.

Marv Nottingham drew similar conclusions.

All bureaucracies have unique feature primarily from their purposes. Schools and hospitals have been characterized as human service organizations. The need to clarify line and staff relationships is particularly crucial in schools because they are inherently "loosely coupled." Loose coupling means that the three domains of a school district -- the policy domain (the board), the managerial domain (the administration), and the service domain (the teachers) -- present a significant problem in coordination.

⁴
 James M. Lipham and James Hoeh, THE PRINCIPALSHIP: FOUNDATIONS AND FUNCTIONS (New York: Harper and Row, Publishers, 1974), p. 91.

⁵
 Monahan, op. cit., p. 149.

⁶
 Lipham, loc. cit., p. 91.

⁷
Ibid.

Clarifying the operating framework of each employee can produce better communication and improve delivery of services.⁸

In contrast to formal communication networks, informal communication ignores format lines of authority and established relationships, existing outside the official networks. Whereas the formal network is deliberately planned and designed by management, the informal network is unplanned, unrestricted, and spontaneous.

Informal communication is basically an attempt by employees to interpret their environment and make it more understandable. Although the formal network carries messages that the senders want the receivers to believe, the informal network usually carries messages that the senders themselves want to believe.

The informal network is perhaps more commonly known as the "grapevine." As the name suggests, the grapevine is intertwined throughout the organization, branching out in all directions - up, down, and across the organization. It carries non-work-related information as well as work-related information. To a large degree, the grapevine is made up of rumors, gossip, speculation, and partial or inaccurate information - all spread with surprising speed. Even though it may lack access to official sources of information, its believability among employees is usually quite high.⁹

Rumors sent through informal channels are based on uncertainty and insecurity.¹⁰ If the company neglects to provide adequate information about its plans, operations, and anticipated changes, employees will ultimately supply their own answers through speculation and rumors.¹¹

Rumors basically result from what Saul Gellerman has called "informational hunger." According to Gellerman, "information hunger" exists due to the tendency for people who already have information to assume that other people also have it.¹²

⁸ Marv A. Nottingham, "Clear Line and Staff Relationships Improve School Management," ERS SPECTRUM, Vol. III; No. 3 (Summer, 1985), p. 7.

⁹ Ralph W. Reber and Gloria Terry, BEHAVIORAL INSIGHT FOR SUPERVISION (Englewood Cliffs: Prentice-Hall, Inc., 1975), p. 152.

¹⁰ Ibid.

¹¹ Ibid., p. 153.

¹² Ibid., p. 154.

12

Fritz Roethlisberger and William Dickson found that the informal relations in a work group assumed a distinctive structure with subgroups and status differences, and that informal norms emerged that regulated the performance of workers.¹³

The last decade has produced a significant body of literature dealing with what has been called contingency, or situational theory.¹⁴ Those who have developed contingency have rejected the idea that any one particular model of organization and administration is superior to others in all situations.¹⁵

Administration process a choices are contingent upon the particular character or nature of the organization at that particular moment, and the specific task or tasks the organization seeks to accomplish at this time.¹⁶

Peter Blau wrote a chapter in Talcott Parsons book American Sociology: Perspectives, Problems, Methods.

The effective accomplishments of a common task requires that men organize themselves by establishing procedures for working together. Sometime they do so informally by coming to implicit agreements concerning how to proceed. But often, particularly when large numbers are involved, men establish explicit procedures for coordinating their activities in the interest of achieving specified objectives, which means that they create a formal organization.¹⁷

Written rules and procedures also seem to be more prevalent in large organizations than in small ones.¹⁸ A sizeable administrative apparatus, apparently serving the function of coping with these

¹³ Talcott Parsons, AMERICAN SOCIOLOGY: PERSPECTIVES, PROBLEMS, METHODS (New York: Basic Books, Inc., 1968), p. 61.

¹⁴ Sergiovanni, et al., op. cit., p. 77.

¹⁵ Ibid.

¹⁶ Ibid.

¹⁷ Parsons, op. cit., p. 54.

¹⁸ Ibid., p. 63

problems of communication, restores operating economy in complex organizations.¹⁹

Newton Edwards has described school districts as municipal corporations in this way:

Strictly speaking, a school district is not a municipal corporation it is a quasi-corporation. A municipal corporation power is a city or town incorporated primarily for purposes of local government. While such a corporation is in part an agency of the state established to assist in the affairs of civil government, it is created, in the main, to enable the locality to regulate and administer its own local concerns. Local interest and advantage rather than execution of state policy are its determining characteristics. In order to effectuate the purposes of their creation, it is obvious that municipal corporations must be granted considerable powers of legislation and regulatory nature. A quasi-corporation, on the other hand, is purely a political or civil division of the state; it is created as an instrumentality of the state in order to facilitate the administration of government.²⁰

Schools today are organized and operated according to certain established principles of "Good Management." A division of labor exists whereby instruction and coordination tasks are allocated to specific roles.²¹ Day-by-day decisions are routinized and controlled by establishing and monitoring a system of policies and rules. These, in turn, insure more reliable behavior on behalf of goals. Proper communication channels are established and objectives mechanisms are developed for handling disputes, allocating resources, and evaluation personnel.²²

An organization chart would likely be constructed, depicting an array of school roles from superintendent and staff, through principals, teacher, to student.²³ Each would be depicted in a faction which delineates their rank and suggests normal lines of communication

¹⁹

Ibid.

²⁰

Roald Campbell, LuVern Cunningham, Raphael Nystrand, and Michael Usdan, *THE ORGANIZATION AND CONTROL OF AMERICAN SCHOOLS*, FORTH EDITION (Columbus: Charles E. Merrill Publishing Company, 1980), p. 96.

²¹

Sergiovanni, et al., op. cit., p. 42.

²²

Ibid.

²³

Ibid., p. 43.

within and between ranks.²⁴ Good management defined in this sense,¹⁴ is directed at the efficient achievement of certain ends.²⁵ These efficient values and ideas are widely accepted and practiced in the administration of our schools.²⁶

In the 1949 text by Ralph Hunkins, Ward Reeder book, "The Fundamentals of Public School Administration" was cited,

The execution of the policies should be left wholly to the professional experts of the board of education. That is, the superintendent, business officials, teachers and other employees.²⁷ The function of the board of education is not to run the school but to see that they are run.²⁸

The superintendent is at once that board's agent and its expert, but is also the leader of the professional staff and the most visible single official in the district.²⁹ Atop the local school administrative hierarchy sits the district superintendent of schools.³⁰

With reference to contacts with the board of education, the superintendent of schools is the official representative of the principal and the teachers. Normally principals do not appear before the board except upon invitation by the superintendent or as a part of some cooperative plan between the superintendent and the principal.³¹

School administrators can avoid a great deal of confusion and develop a more effective communications network if everyone knows who is in a line position and who is in a staff position and when. Staff relationships can function as true exchanges of expertise, unencumbered by the creeping paralysis of "do it my way," if all

24

Ibid.

25

Ibid.

26

Ibid.

27

Ralph V. Hunkins, GUIDEBOOK FOR SCHOOL PRINCIPALS (Lincoln: University of Nebraska Press, 1949), p. 7.

28

Ibid.

29

Sergiovanni, et al., op. cit., p. 132.

30

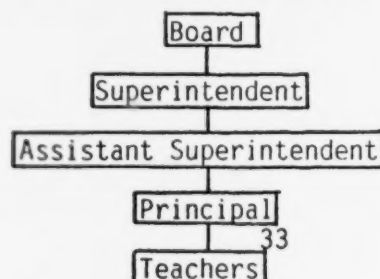
Ibid.

31

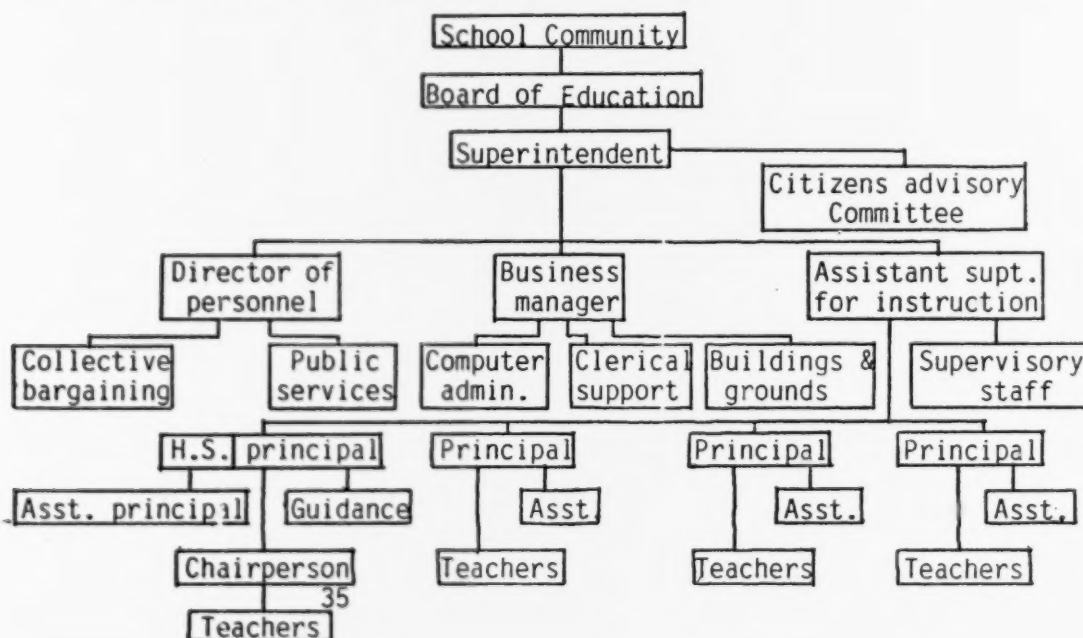
James C. Jones, Jackson Salisbury and Ralph Spencer, SECONDARY SCHOOL ADMINISTRATION, (St. Louis: McGraw-Hill Book Company, 1969), p. 393.

participants know when the conversation is a staff relationship and when line decisions are required. A clear understanding also allays the fear of "going over someone's head" or short-circuiting the management team.³²

Marv Nottingham offered the following organizational chart.



The traditional organizational chart depicting roles and relationships within the school structure is a representation of many of the values of bureaucratic thinking.³⁴ The following is an example of a school district organizational chart.



³² Nottingham, *op. cit.*, p. 6.

³³ *Ibid.*

³⁴ Sergiovanni, *et al.*, *op. cit.*, p. 50.

³⁵ Sergiovanni, *et al.*, *op. cit.*, p. 49

Those who occupy positions in the upper level of the hierarchy of control in an organized effort often are attributed power which accrues as a result of position or status.³⁶ The line of authority passes from the board of education through the superintendent to the principal.³⁷ The principals basic duties and functions, of course, are determined by the board of education and superintendent, and usually stated in policy handbook.³⁸

Most principals have a healthy respect for the chain of command or the line-staff relationship.³⁹ If a principal is asked by a board member to make a report to him,⁴⁰ the principal should point out to the board member that the desirable channel for such a request should be from the board, through the superintendent to the principal.⁴¹

The history of education in this country has been one which has emphasized the local control of schools. If any one historical aspect of education in this country has been unique in the world, it has been our reliance upon the local lay control of schools. No parallel to this history is to be found in other countries where education has been a function of the national government. Our history has been one of local and very immediate control of the schools through lay boards, and it was this context in which the principal traditionally operated.⁴²

³⁶ Glen Eye, Lanore Netzer and Robert Krey, SUPERVISION OF INSTRUCTION: SECOND EDITION (New York: Harper and Row, Publishers, Inc., 1971), p. 13.

³⁷ Byron W. Hansford, GUIDEBOOK FOR SCHOOL PRINCIPALS (New York: The Ronald Press Company, 1961), p. 17.

³⁸ Ibid.

³⁹ Robert C. Howe, "How To Improve and Evaluate The Principal's Performance," ERIC, ED 207 147 (April, 1981), p. 3.

⁴⁰ Hansford, Ibid., p. 18.

⁴¹ Ibid.

⁴² Hunkins, Ibid., p. 12-13.

WHAT PRACTICING SCHOOL SUPERINTENDENTS SAY:

Superintendent A: In the larger communities the members of the boards of education are likely to have had more opportunity for experience in the delegation of executive duties than those in smaller communities. The urban board may be composed of members who are directors of banks, foremen in factories, managers of corporation, or others with daily practice in delegating duties. The successful delegation of duties may, in fact, be the very basis for their success in daily life. In contrast, the characteristics of the typical small-community board member is apt to be strikingly different. Such a board member may be the proprietor of a small business responsible for the direction of a few or even no employees, a doctor who is his own bookkeeper, a lawyer who does his own typewriting, a farmer who does possibly all of his own work, or a housewife unaccustomed even to directing servants.

With such a background of daily experience it is not difficult to conceive the attitude that these smaller-community leaders will take toward their responsibilities if they find themselves on a board of education. They are used to doing things directly and personally, without delegating much, if any, work to others. To them the implication of their responsibilities as board members is plain. They have been elected by the people to run the schools. The job looms as a personal obligation - just as their daily work is an obligation to roll up their sleeves and wade in. Soap, pencils, paper, and desks need to be bought. Teachers need to be employed. So they proceed to purchase the supplies and to interview applicants for the teaching vacancies that exist. They proceed to get these things done in the best way they know.⁴³

Although the superintendent and the principal work together as a professional team, the principal will avoid much difficulty and confusion in his relationship with the superintendent if he never loses sight of the fact that the superintendent is employed by the board of education to be responsible for the entire school system. This means that although the principal is employed by the board, it is upon the recommendation of the superintendent and is under his direction.⁴⁴

The principal occupies the key position in school organization; he is not a passive or neutral administrative officer. The school is a social system with belief patterns, authority structures, formal and informal communications systems, special interest groups, etc.: and the influence of the principal reaches into each of these elements.

The principal brings to the school a unique background of training,

⁴³ Ronald E. Blood and James P. Miller Jr., "The New Mexico Principal Study: Factors Affecting the Principalship Yesterday and Today," ERIC, ED 175 143 (October, 1978), p. 19.

⁴⁴ Hansford, op. cit., p. 14.

experience, professional beliefs and attitudes which condition his approach to what and how he attempts to influence.⁴⁵

The principal of a school⁴⁶ will have power of the office. As principal he or she is expected to implement certain policy decisions made at the level of the central office as the principal, he or she is expected by the staff to implement policies and procedures which have grown out of staff discussions. In both cases the administrator is to carry out organizational imperatives, not his or her own personal wishes. Power thus resides much more in the office than in the individual.⁴⁷

Many teachers, board members, and lay citizens do not recognize the difference between personal power and organizational power. Most administrators have little personal power, but they may have considerable organizational power.⁴⁸

To clarify the major expectations of the principalship James Lipham cited Worth, Illinois, School District.

Many examples of this approach to clarifying the major expectations of the principalship could be cited. An illustrative example is that of the Worth, Illinois, School District, which has adopted policies that describe the principal's role in terms of certain major responsibilities, in the policies of the Worth Board of Education it is stated that all principals shall be: 1. Responsible to the superintendent of schools for the organization, administration, and supervision of the schools in which they have been assigned, and for keeping the superintendent informed as to the operation of the schools and the activities therein. Responsible for making recommendations concerning the selection, assignment, and evaluation of building teachers to the superintendent of schools. Responsible for promoting an effective system of student guidance, developing reasonable rules for student conduct in cooperation with the building faculty, and for maintaining high standards of student courtesy. Upon approval of the superintendent of schools they may suspend students from school for a maximum period of seven days for serious violation of school regulations. Responsible for supervision of the keeping of all records for the school building and making all reports that are required for their school by law or requested by the superintendent of schools. Such review is basic if a school district is to move

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Lloyd E. McCleary and Scott D. Thomson, THE SENIOR HIGH SCHOOL PRINCIPALSHIP, VOL. 3 THE SUMMARY REPORT, (Reston: National Association of Secondary School Principals, 1979), p. 5.

46

Campbell, Ibid., p. 257.

47

Ibid.

48

Ibid.

toward the use of more definitive and systematic procedures of management by objectives (MBO) or planning-programming-budgeting systems (PPBS).⁴⁹

Past Belief About the Principals Role

Many board members considered themselves more qualified to select those individuals with professional training whom they have employed, and consider themselves administrators when it comes to the selection and dismissal of personnel.

"Each year many superintendents and high school principals are dismissed by boards of education. This is due in some cases, of course, to the fact that some administrators are inefficient or lazy, but in many cases it is due to a failure of administrators to know what role the board of education expects them to play. The educational literature on administration is replete with references to the role of the superintendent and high school principal, as well as the board. The problem may well be that members of boards of education do not conceive their role and the role of the administrator the same as it is portrayed in educational literature. Perhaps there would be fewer administrators fired annually if administrators would make a realistic attempt to determine their role as well as the boards role.⁵²

Since boards of education are responsible for the progress of education within individual school districts and since these boards must work through superintendents and principals, it is vital that both board members and administrator be aware of board members perception of the responsibilities of the two groups.⁵³

In Robert Splawn's study of boards of education and principals found that,

Six percent indicated they do not know what qualities a man should possess in order to make a good principal. In fact, the same six

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Lipham, op. cit., p. 121-123.

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Robert E. Splawn, "Boards of Education Member's Perception of the Role of the Board and the Role of the Superintendent and The High School Principal, "ERIC, ED 035 079 (May, 1969), p. 30.

⁵¹

Ibid.

⁵²

Splawn, op. cit., p. 3.

⁵³

Ibid., p. 25.

percent seem to feel it does not really matter because the principal does not do much anyway.⁵⁴ 20

Robert Splawn indicated:

That board members do not have the same conception of the high school principal's role as do the writers. In fact, most board members seemingly do not picture the principals as being a vital figure in the total school program. Many say it is "to run the school" whatever that means.⁵⁵ Some of the opinions of board members concerning the principals role indicated that the position of the principal is not too significant.⁵⁶

According to Lloyd McCleary:

Compounding the problem of job responsibilities is finding that the referent groups (parents, students, teachers, and board members) apparently understand very little about the way a principal actually spends time week by week.⁵⁷ "Significant others" groups believe a principal spends more time on (1) planning, (2) school management, and (3) professional development than he actually does spend, and less time on personnel and community affairs than the job requires.⁵⁸

Richard Gorton made similar comments about perception of principals.

Each group of "significant others" tends to view the school and the principal from a slightly different perspective, even though much agreement exists among the groups and with the principal. For example, teachers are inclined to feel that principals spend too much time on district office matters, but this feeling is not shared by superintendents and board members. Generally speaking, however, the exemplary principals operate in a highly supportive situation with all referent groups.⁶⁰

School principals need the support of both their immediate school staff and members of the school community and they also need the

⁵⁴ Ibid., p. 29.

⁵⁵ Splawn, loc. cit., p. 30.

⁵⁶ Ibid.

⁵⁷ Splawn, loc. cit., p. 29.

⁵⁸ McCleary, Ibid., p. 18.

⁵⁹ Ibid.

⁶⁰ Richard A. Gorton and Kenneth E. McIntyre, THE SENIOR HIGH SCHOOL PRINCIPALSHIP, VOL. II (THE EFFECTIVE PRINCIPAL, VOL. 3, Reston: National Association of Secondary School Principals, 1978), p. 18.

support of the school superintendent and the resources of that office if they are to be effective on the job.⁶¹

There should be better understanding and recognition of the principal's job by staff, community, and in particular central office.⁶²

Richard Gorton and Kenneth McIntyre believed that, from the view point of "significant others" a number of things tended to bother the principal and cause him worry and stress.⁶³ In general, the "significant others" saw the strength of the principal much as he did, and in terms of personal characteristics rather than professional expertise.⁶⁴ The principals as well as "significant others" regard personal qualities rather than professional expertise to be the principals' main strengths.⁶⁵ The "significant others" see principals as strong in oral communication and effective in one-to-one situation.⁶⁶ "Significant others" lack knowledge about the principal's use of time or hours of work.⁶⁷ The "significant others" were not knowledgeable about the processes used by the principal to plan major projects or programs.⁶⁸ "Significant others" had difficulty in

⁶¹ National Association of Secondary School Principals, *EFFECTIVE PRINCIPALS: A RESEARCH SUMMARY*. (Reston: National Association of Secondary School Principals, 1982), p. 3.

⁶² Gorton, *Ibid.*, p. 50.

⁶³ Gorton, *op. cit.*, p. 44.

⁶⁴ *Ibid.*, p. 48.

⁶⁵ *Ibid.*

⁶⁶ *Ibid.*, p. 51.

⁶⁷ *Ibid.*, p. 58.

⁶⁸ *Ibid.*, p. 59.

identifying specific problems that the principals did not handle
well.⁶⁹ The "significant others" are not particularly knowledgeable
about the problem-solving process employed by the principal.⁷⁰

"Significant others" perceive the principal as initiating change less
frequently than the principals report involvement in change.⁷¹

Since even the effective principals can misjudge the issues that
are of concern to "significant others" who in turn reveal a lack of
knowledge about most aspects of the principal's performance, it
would appear that there is a need to improve communication between
the principals and the other groups.⁷²

Understanding the situational factors of the job constitutes a
first important step to this clarification because the "significant
others" and the effective principals agree on the way a principal's
time should be allocated to job responsibilities. It is not clear
at this point whether differences in perception about the way a
principal actually spends time are the result of a variety of role
expectations, or whether they result simply from the various
viewpoints represented. The differences, however, are significant.⁷³

While the referent groups agree that effective principals are
capable decision makers and that they enjoy good staff relations,
little is known about the principal's operating style. They cannot
describe, for instance, the principal's approach to planning and
initiating projects in the school. They know he is involved, but
they do not know the specifics of this involvement. They know he
is effective, but they cannot describe the reasons for this
effectiveness beyond listing personality traits.⁷⁴ It is somewhat
disheartening, the most common response of the "significant others"
to the question of how the job of the principal could be improved
and made more effective, was they did not know.⁷⁵

National Association of Secondary School Principal study indicated
that,

⁶⁹

Ibid.

⁷⁰

Ibid.

⁷¹

Ibid., p. 60.

⁷²

Ibid., p. 61.

⁷³

McCleary, loc. cit., p. 18.

⁷⁴

Ibid., p. 24.

⁷⁵

Gorton, loc. cit., p. 50.

The "significant others" are not the findings of the study also indicate that the "significant others" are not knowledgeable about many aspects of the principal's job and job performance. Their rating of the principal are based primarily on impressions of the extent to which the principal is meeting their expectations rather than on concrete information.⁷⁶ Since the data from the study also show principals to have a less than complete awareness of the issues and problems as viewed by students and teachers, it can be hypothesized that the positive ratings of principal's effectiveness by the "significant others" may be grounded on a shifting confidence base which could erode under adverse conditions.⁷⁷

Each "significant other" group wanted problems solved within its own frame of reference (i.e., teachers wanted support and firm discipline, central office wanted policy to be followed, etc.). The principals placed the highest value on none of these, but rather on resolving problems related to the educational program of the school. Secondly, they attended to problems of student behavior, and, thirdly, to problems of school management. Perhaps in those discrete areas where the principal is observed by the various referent groups, he solves problems sufficiently well for the reputation to become generalized.⁷⁸

It was shown that when eighteen senior high school principals, the teachers in their buildings, and their superintendents prioritized the principal's job with regard to thirty two competencies in eight key areas of responsibility, there were significant differences in the responses of the three groups. There were also significant differences in the three groups' perception of the performance of the principal in the eight key area.⁷⁹ Moderate amounts of agreement among the teachers and superintendents/school board leader groups, leading to conclusion that principal's planning processes are perceived to be in descending order: (1) organizing, (2) providing for resources, (3) establishing needs, (4) recognizing the occasion for planning, (5) defining goals and objectives, (6) securing allegiances, (7) providing for needed training, and (8) providing for evaluation.⁸⁰

Because the principals perceive a major need for role clarification, it behooves school boards, superintendents, professional organizations, universities, parent groups, and others

⁷⁶ Ibid., p. 56.

⁷⁷ Ibid.

⁷⁸ McCleary, op. cit., p. 22.

⁷⁹ Kenneth E. McIntyre and Ed A. Grant, "How Principals, Teachers and Superintendents View the Principalship." NASSP BULLETIN, VOL. 64: No. 433 (February, 1980), p. 48.

⁸⁰ Gorton, op. cit., p. 21.

related to the principalship to work hard at making the position more clearly and broadly understood. If ambiguity about expectations are frustrating to effective principals, they must be even more troublesome to principals in general.⁸¹

Effective Principal

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The effective principal works harder, perceives better, involves extensively, participates widely, initiates often, manages efficiently, delegates frequently, communicates effectively and enjoys strong community support. He is optimistic in outlook and he minimizes constraints even while acknowledging they exist. He is committed to the school and its tasks and enjoys the challenge of accomplishing those tasks.⁸³

Like a first-line supervisor, a school principal needs considerable technical skill. The principal does not need to have as much specialized academic knowledge as individual teachers, but he or she should be an expert in pedagogical practice, curriculum planning, analysis of learning processes, and program implementation. (Smythe, 1980).⁸⁴

Effective principals continually communicate their high expectations to students and teachers, and are resourceful managers.⁸⁵ They exhibit a wide range of personal leadership styles,⁸⁶ have a clear sense of their own strength and weaknesses, high energy levels, strong communication, analytic, human relation skills, and a high tolerance for stress.⁸⁷ Effective principal relationships with

81

Ibid., p. 62.

82

McCleary, Ibid., p. 30.

83

Ibid.

84

NASSP op. cit., p. 3.

85

Lorri A. Manasse, "Improving Conditions for Principal Effectiveness; Policy Implications of Research on Effective Principals," ERIC, ED 245 355 (June, 1983), p. 15.

86

Ibid., p. 16.

87

Manasse, op. cit., p. 9.

88

Ibid.

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the central office and school board,⁸⁹ are positive about general supportive levels, ability to communicate needs and problems, in the services offered.⁹⁰ Effective principals place a high priority upon⁹¹ the ability to work effectively with people.

As chief decision maker, the effective principal anticipates and influences the direction of planning. But he involves the staff and students in these plans. Once initiated, the principal usually steps back to guide and monitor a project rather than to continue as a dominant leader.

Richard A. Gorton and Kenneth McIntyre stated,

Supportive and cooperative people seem to be the way to facilitating the principal's effectiveness; inadequate resources and pressures on the principals time seem to hinder the principal most. Both factors are probably not peculiar to effective principals and may be generic to the job of principal.⁹²

Lloyd McCleary agrees,

Supportive and cooperative people with whom the principal works, together with sufficient job autonomy and an adequate administrative staff, appear to be important keys to effectiveness.⁹³

Lorri Manasse commented on supporting effective principals.

If they are serious about supporting effective principals, they must be prepared for principals who may be "boat rockers," not satisfied to keep a low profile and maintain the status quo.⁹⁴

There are, nevertheless, certain enduring characteristics of the role which research suggests are critical to effective performance; (1) the ability to work closely with others on a face-to-face basis; (2) the ability to manage conflict and ambiguity; (3) and attention of principals; (4) the ability to anticipate and adapt to rapidly changing human, social, and environmental conditions; (5) the ability to think and to exercise discretion in formulating

⁸⁹ McCleary, op. cit., p. 12.

⁹⁰ Ibid., p. 21.

⁹¹ Ibid., p. 24.

⁹² Gorton, op. cit., p. 33.

⁹³ McCleary, Ibid., p. 21.

⁹⁴ Manasse, op. cit., p. 13.

action plans and decisions responding to the contingencies of a system in constant motion; and (6) the ability to assess and evaluate the consequences of schooling for children in the light of knowledge regarding effective educational and managerial practices⁹⁵

Jack Culbertson, Curtis Hanson, and Ruel Morrison offer criteria that denoted an effective principal.

PERFORMANCE CRITERIA IN ADMINISTRATIVE BEHAVIOR

1. The effective principal maintains effective communications with information sources covering a wide range of perspectives on the school.
2. The effective principal builds trust in widely diverse constituencies, trust which increases the validity of the information he is able to collect and the accuracy with which he can assess needs and define potential problems well in advance of the crisis.
3. The effective principal builds his own future vision in a continuous exchange between his own personal values and the perspectives of others as they are communicated to him.
4. The effective principal stimulates structures through which multiple perspectives are continuously channeled, needs are assessed, and problems are defined, and through which action is continuously taken to achieve the organization's vision of the future. He builds among all constituents of the school and the community a feeling of belonging, a sense of identity in terms of goals, and a belief in the rationality of policies.
5. The effective principal works primarily to build an organization which defines and works toward long-range goals. Even in responding to immediate demands (unavoidable even in the most responsive and participative organizations), the effective principal sets priorities and prepares carefully for decisions.

He identifies items that need to be dealt with immediately, later, or not at all; he gathers sufficient information to define each problem and, subsequently, to define and evaluate the most promising alternative actions and potential, unintended consequences within the limits of time and priority; he involves others in the decision-making processes in ways consistent with their expectations and desires and in accord with their interests and expertise; and he employs means of communication based on sensitivity to nonverbal meanings as well as on considerations of efficiency and bureaucratic control.⁹⁶

Persell and Cookson reviewed seventy-five studies and reports.

⁹⁵

National Association of Secondary School Principals, Ibid., p. 17-18.

⁹⁶

Jack Culbertson, Curtis Hanson and Ruel Morrison, PERFORMANCE OBJECTIVE FOR SCHOOL PRINCIPALS: CONCEPTS AND INSTRUMENTS, (Bereley: McCutchan Publishing Corporation, 1974), p. 63-64.

From this review they identified nine behaviors that good principals displayed.

1. Demonstrating a commitment to academic goals.
2. Creating a climate of high expectations.
3. Functioning as an instructional leader.
4. Being a forceful and dynamic leader.
5. Consulting effectively with others.
6. Creating order and discipline.
7. Marshalling resources.
8. Using time well.
9. Evaluating results.⁹⁷

Doll discovered that principals in the more successful schools (Partially Problem-Orientated) displayed the following behaviors:

1. Communicated openly with the staff and community.
2. Supported teachers -- assisted teachers even if this meant clashing with the central administration; relieved teachers of clerical and other non-teaching duties; acted decisively in response to teachers' needs.
3. Solicited information from his faculty and community before making decisions.
4. Sometimes ignored the hierarchy and the formalities of the bureaucratic structure.⁹⁸

James Jones and Jackson Salisbury stated what they called competencies for effective secondary school principals. Secondary principals should possess adequate personal qualities. Should be of good moral character and basic integrity.⁹⁹ Should have a wide background of undergraduate or graduate work which gives an understanding about the nature of learning and specified learnings related to his own teaching field.¹⁰⁰ The principal of a secondary school should have a deep understanding of the technical aspects of

⁹⁷

National Association of Secondary Principals, op. cit., p. 3.

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Educational Research Service Report, EVALUATING ADMINISTRATIVE PERFORMANCE, (Arlington: Educational Research Service, Inc., 1974), p. 8.

⁹⁹

Jones, op. cit., p. 166.

¹⁰⁰

Ibid.

¹⁰¹

Ibid.

education.¹⁰² In addition to possessing competencies in these areas,²⁸
the principal should be able to relate his knowledge and skills in a
meaningful way.¹⁰³ A leader of a secondary school should possess an
adequate background of experience.¹⁰⁴ The secondary principal should
have a good understanding of disciplines,¹⁰⁵ and able to work with
individuals and groups.¹⁰⁶ The principal of a secondary school should
be able to adjust his knowledge and thinking to situational
patterns.¹⁰⁷

The most important functions performed by principals appear to be
the following (1) develop goals, policies, and directions; (2)
organize the school and design programs to accomplish the goals;
(3) monitor progress, solve problems, and maintain order; (4)
procure, manage, and allocate resources; (5) create a climate for
personal and professional growth and development; (6) represent the
school to the district office and the outside community. The role
of the school principal has some of the attributes of a first-line
supervisor and some of the attributes of a middle management.¹⁰⁸

When asked what job conditions contributed to job effectiveness,
the effective principals listed more frequently: (1) a quality,
supportive staff, (2) cooperative, energetic students, (3)
encouragement by the central office, (4) community support, and (5)
job autonomy. Each reference group considers itself as important
to the principal's job success. The groups, however, rated their
own support a higher value than they were rated by others.
Teachers, central office, and the parents each placed themselves
first in the list of "job conditions especially helpful to the
principal." Students rated themselves third.¹⁰⁹

¹⁰² Ibid., p. 167.

¹⁰³ Ibid.

¹⁰⁴ Ibid., p. 168.

¹⁰⁵ Ibid.

¹⁰⁶ Ibid., p. 169.

¹⁰⁷ Ibid.

¹⁰⁸ National Association of Secondary School Principals, op. cit.,
P. 4.

¹⁰⁹ McCleary, loc. cit., p. 21.

The effective principals, when asked what factors assisted their effectiveness, indicated these conditions as important: (1) a high quality teaching staff, (2) a cooperative and interested community, (3) a receptive school climate, (4) an excellent student body, (5) a strong administrative staff and a supportive central office. Evidently the contributions of all referent groups are considered necessary to an optimum situation.¹¹⁰

When asked what changes would make the principalship more effective than at present, the principals expressed this collective opinion: (1) Provide more autonomy - allow the individual school to exercise more authority for decision making; (2) Clarify the role - review job descriptions and clarify expectations with the different referent groups to gain common expectations; (3) Reduce the volume of paperwork and meetings - require only the most necessary reports and meetings; (4) Include the principal's viewpoint in policy - when a faculty and study body are affected by policy, the principal's advice is important to good policy formulation; (5) Provide inservice education on modern management, staff evaluation, program evaluation, and on current trends and issues.¹¹¹

To make observations about the future principal and his needs as a professional person. With the evidence of the national study and related work in mind, comment is offered about capabilities which appear to be essential to effective principals of the future. The points listed below encompass eleven essential attributes ... Characteristics and early preparation ... Experience leading to the principalship ... Knowledge and experience with educational programs ... Management skills ... Leadership skills ... Staffing ... Reading community expectations and interpreting social movement ... Educational perspective and future orientation ... Continued professional development ... School autonomy ... The principal as educator.¹¹²

Introduction to Evaluation

The public concern for educational excellence and demand for accountability have spotlighted the quality of leadership in our nation's schools. Research has shown that administrative leadership is an important and often key factor in a school's educational effectiveness. Hence, the methods and procedures used to evaluate administrative performance are of major concern to educators, school boards, and the public.¹¹³

¹¹⁰

Ibid., p. 29.

¹¹¹

Ibid., p. 30.

¹¹²

Ibid., p. 66.

¹¹³

Educational Research Service, EVALUATING ADMINISTRATIVE PERFORMANCE (Arlington: Educational Research Service, Inc., 1985), p. v.

Administrative evaluation systems are based upon the assumptions that there are standards of administrative effectiveness and that administrative performance can be measured in terms of these standards. Without these two prerequisites, administrative evaluations have no meaning. The design and implementation of an evaluation process also rests upon a third assumption -- that the process will accomplish some stated objectives.¹¹⁴

Supervision is an interaction between and among people. The nature of dominance, supportiveness, rigidity, openness, and all of the other adjectives which might describe the nature of this interaction do not change the fact that any definition of supervision must take into consideration the phenomenon of people influencing people.¹¹⁵

If the administrators role is defined in terms of expected outcomes, the appropriate evaluation data, sources of data, and measurement procedures will depend upon the particular organizational or educational outcomes desired.¹¹⁶ Criteria currently used in evaluation include administrative characteristics, administrative functions, and organizational results. In general, the administrator's relationship to the system -- including communication, decision-making, and evaluation of staff -- have become the focus of evaluation.¹¹⁷

Definition of the term evaluation is a problem.¹¹⁸ For one thing, some people misuse the term; they interchange it with measurement, or they mistakenly think of a rating system as the only means for making judgments, or they view it as the act of making a summary statement about an individual's performance for a specified year. Any of these perceptions of evaluation is inadequate and will lead to deficient practices.

Measurement is merely the qualifications or quasiquantification of events, behaviors, or results of behavior.

The rating of characteristics or traits on either normative or criterion-based scales can be of value as a part of a total evaluation system, provided the items on which the person is being rated have some direct pertinence to the organizational goals and provided that adequate means have been taken to acquire information regarding these characteristics.

¹¹⁴ Educational Research Service, 1974, op. cit., p. 5.

¹¹⁵ Eye, op. cit., p. 3.

¹¹⁶ Educational Research Service, 1974, Ibid., p. 11-12.

¹¹⁷ Educational Research Service, 1974, op. cit., p. 2.

¹¹⁸ Dale L. Bolton, EVALUATING ADMINISTRATIVE PERSONNEL IN SCHOOL SYSTEMS (New York: Teachers College Press, 1980), p. 29.

A summary statement may well be required in an evaluation system but it should not be considered as synonymous with evaluation. When it is, other parts of the evaluation process are ignored.¹¹⁹

Among recent trends in evaluation of administrators - open record systems; concern for effectiveness as expressed by desire for productivity, accountability, and performance-based evaluation; systems analysis; concern for efficiency as expressed by the desire that appropriate processes be used.¹²⁰

The superintendent was the most frequent evaluator of deputy of associate superintendents, assistant superintendents, and directors,¹²¹ managers, or coordinators. The frequency with which formal evaluations of administrative personnel were made most often reported as once a year.¹²²

Evaluations

Administrative evaluation in the past has been largely an isolated process, based on an individual supervisory style and consisting of a superior's assessment of the personal characteristics or performances.¹²³

The evaluation procedures that were most commonly part of general practice were reported as follows:¹²⁴

¹¹⁹

Bolton, op. cit., p. 15.

¹²⁰

Educational Research Service, 1974, Ibid., p. 18.

¹²¹

Educational Research Service, 1985, Ibid., p. vi.

¹²²

Ibid.

¹²³

Ibid.

¹²⁴

Ibid.

- 96.3% - evaluatee receives copy of evaluation report.
- 95.2% - conference held at conclusion of evaluation period.
- 90.8% - evaluatee may file dissenting statement if assessment considered unfair.¹²⁷
- 90.7% - evaluatee signs evaluation report of the evaluator.¹²⁸

The following highlights are based on information reported by the 873 districts (85.9%) that indicated their districts have formal evaluation of administrators.

- More than half of the reporting districts (66.3%) indicated that their district has used formal evaluation for more than five years.
- Reporting districts indicated using a combination of the three commonly defined approaches to evaluation: 88.6% evaluate process of means used in performing specific functions. 83.8% evaluate outputs or results in terms of specific objectives. 71.6% evaluate personal traits or characteristics.
- A large majority (85.9%) of the 1,016 school districts that responded to the ERS survey questionnaire reported having formal evaluation procedures for administrators.
- 14.1% of school districts reported having no formal methods or procedures for evaluating administrators.
- Most of the districts reporting no formal administrator evaluation enroll less than 2,500 pupils.¹²⁹

In the Educational Research Service (ERS) of 1974, it was reported
130
the frequency of formal administrative evaluation.

In the 1968 ERS survey, 62 school districts, or 39.5% of those responding, reported the use of formal procedures for the periodic evaluation of administrative/supervisory personnel. The 1971 survey identified 84 systems, or 54.5% of those responding, that conducted formal evaluations of administrative/supervisory personnel and eight systems that reported plans to implement an evaluation program.¹³¹

125

Ibid.

126

Ibid.

127

Ibid.

128

Ibid.

129

Ibid.

130

Educational Research Service, 1974, loc. cit., p. 18.

131

Ibid., Educational Research Service, 1964

In the ERS 1985 study found that 85.9% indicated their districts have formal evaluation of administration.¹³² The frequency with which formal evaluations of administrative personnel were made most often reported as once a year.¹³³

In the ERS 1985 study districts were asked to assess, from a management perspective, the current effectiveness of their program for evaluating administrative performance. The majority of the responding districts (59.1%) classified their administrative evaluation program as "good, needs some minor change." Another 16.2% of the districts responded that their program was "excellent, needs little, if any, change."¹³⁴

Ennis and Associates generated the following questions and collect data to help understand the phenomenon of evaluation of administrators in 1978.

1. Is the persormance of these people evaluated? Out of 261 responses for principal, 218 or 84% answered yes, 43 or 16%, no.
2. Who conducts the evaluation? Responses for principal, 0 for board of education; 153 or 70% by superintendents; 65 or 30% by others.
3. When and how often are evaluations usually conducted? 111 or 51% annually, 51 or 23% semi-annually, 41 or 19% quartely, 6 or 3% no response.
4. Is evaluation pre-planned, written, questionarie-type or in-formal, oral-type? 124 or 57% are written, 88 or 40% are oral, 6 or 3% no response.
5. Is a "self-evaluation" procedure used prior to the "official" evaluation. 92 or 42% responded yes. 121 or 56% responded no, 5 or 2% did not respond.
6. Are post-evaluation conferences held? 139 or 64% responded yes, 69 or 32% responded no. 10 or 4% did not respond.
7. Are any board members involved in the post-evaluation conference? 31 or 14% responded yes. 167 or 77% responded no, 20 or 9% no response.
8. Does the board use evaluations to determine compensation? 119 or 55% responded yes. 74 or 34% responded no. 4 or 1% did not respond.

¹³²

Educational Research Service, 1985, loc. cit., p. vi.

¹³³

Ibid.

¹³⁴

Ibid., p. 27.

9. Does the performance evaluation system appear to be a result oriented system? 54 or 25% responded yes. 164 or 75% said no.¹³⁵

In question #1, more school districts indicated performance evaluation systems for "district administrators" and "principals" than "other administrative staff". This difference could result from one of two things. Either the districts do not have "other administrative staff" or they do not have performance evaluation for their "other administrative staff". It seems most likely that the former is the reason for this difference.

In question #2, it was indicated that the school board is, in almost all cases, responsible for evaluation of the district administrator. However, for principals and other administrative staff the school board appears to take a less active roll. Rather high percentages in the category of "principals" and "other administrative staff" indicates evaluation is done by the district administrator. The majority of responses in the category of "other" indicated joint evaluations are by the district administrator and school board for "principals", and joint evaluations by the principals and district administrator for "other administrative staff".¹³⁶

For question #5, the data indicated that self evaluation was more likely to be conducted for principals and other administrative staff than for district administrators. However, in each category, less than 50% of the respondents indicated a self evaluation procedure and no conclusion is evidenced by the data.¹³⁷

In question #6, it is significant to note that post evaluation conferences are held for only 44% of the respondents in the category of "district administrator". In contrast, post evaluation conferences were held for 64-65% of the respondents in the category of "principals" and "other administrative staff".¹³⁸

On information provided, only about 25-30% of the respondent's performance evaluation methods appeared to be results oriented.¹³⁹

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Ennis and Associates, SCHOOL ADMINISTRATOR PERFORMANCE EVALUATION (Winneconne: Wisconsin Association of School Boards, 1978), p. 3.

¹³⁶

Ibid., p. 4.

¹³⁷

Ibid.

¹³⁸

Ibid., p. 5.

¹³⁹

Ibid.

In the 1971 ERS study, Evaluation Administrative/Supervisory Performance, 12 basic types of evaluation procedures were identified¹⁴⁰ from the 84 reported.

The 1971 report provides the following explanation of procedural categories listed in Table:

1. Unilateral evaluation by evaluator; no evaluation conference(s); no notification of evaluation outcome to evaluatee unless unsatisfactory rating is given.
2. Unilateral evaluation by evaluator; no evaluation conference(s) but evaluatee is either shown or given a copy of completed form.
3. Unilateral evaluation during evaluation period; no post-evaluation conference is held, but evaluatee is either shown or given a copy of completed form or letter report.
4. Unilateral evaluation by evaluator; post-evaluation conference between evaluator and evaluatee to discuss rating received; evaluatee may also either be shown or given a copy of completed form.
5. Evaluations are conducted by teams of educators; chairman compiles summary evaluation and holds post-evaluation conferences with evaluatee to discuss the rating.
6. The evaluator and evaluatee agree on major areas of responsibility for evaluatee; evaluator rates evaluatee on his performance in each major area; post-evaluation conference is held to discuss the evaluation.
7. The evaluatee rates himself and evaluator rates evaluatee; these evaluations are discussed in a conference, but only the evaluator's rating, which may or may not be modified as a result of the conference, appears on the completed form.
8. The evaluatee rates himself and evaluator rates evaluatee; both evaluations are discussed in conference; both evaluations appear on completed form.
9. The evaluatee completes a self-evaluation form, including establishing goals for next evaluation period; complete form is submitted to evaluator, who adds his comments as to accuracy of evaluatee's evaluation. Post-evaluation conference is held to discuss completed form.
10. The evaluator and evaluatee, in conference, establish mutually agreed upon performance goals for evaluatee, within his major areas of responsibility; evaluator rates evaluatee on his accomplishment of performance goals and performance in areas of responsibility; post-evaluation conference is held to discuss the evaluation.
11. Same as #10 above, except that evaluator consults with other individuals, including evaluatee's peers and /or staff, students, and parents, before completing his part of the evaluation form; only evaluator's evaluation appears on completed form.¹⁴¹

¹⁴⁰

Educational Research Service, 1971, loc. cit., p. 18.

¹⁴¹

Ibid.

Some school districts include in their evaluation process³⁶
evaluator¹⁴²s other than the administrator's supervisors. The 1984 ERS
indicated that neither peer evaluation nor client-centered evaluation¹⁴³
was a common practice among responding systems.

The possible benefits of peer and client-centered evaluation are cited in several reports. Lewis Wills (1976) writes that valuable feedback on administrative performance can come from peers as well as students, teachers, community members, and office personnel. "Because different groups are unique and have different interests, they will see things from slightly varying viewpoints," he states. "Having as much data available from as many sources as possible will enable the administrator to make better decisions."¹⁴⁴ Bruce Kienapfel mentions the fear of some administrators that such evaluation would be a mere "popularity contest."¹⁴⁵

The traditional and most frequently used method is the formal/critical incident - oral system.¹⁴⁶ It was a nonsystem because it is unstructured with no written procedures, rules, or defined parameters.¹⁴⁷ The informal/critical incident method fails to tie administrator performance in any objective fashion with the mission of the school district,¹⁴⁸ product of the school district, or the level of educational skills and knowledges assimilated by the student.¹⁴⁹ This method lack objectivity.¹⁵⁰¹⁵¹ It is impossible to assess administrator

¹⁴² Educational Research Service, 1985, Ibid., p. 13.

¹⁴³ Ibid.

¹⁴⁴ Ibid., p. 13-14.

¹⁴⁵ Ibid.

¹⁴⁶ Ennis, Ibid., p. 7.

¹⁴⁷ Ibid.

¹⁴⁸ Ibid.

¹⁴⁹ Ibid.

¹⁵⁰ Ibid.

¹⁵¹ Ibid.

performance in terms of impact of the school district's mission.¹⁵²

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The trait rating system is a formal written method which rates the personal characteristics of the individual administrator. Some common factors evaluated by this method are: (A) Does this person have a neat, well-groomed appearance? (B) Is this person of high moral character? (C) Does this person demonstrate leadership qualities? (D) Is this person emotionally stable? (E) Is this person able to effectively communicate with other people? etc.¹⁵⁴

This method assumes that if administrators demonstrate the desired personal characteristics they are in fact performing satisfactorily or better.¹⁵⁵

Activity based evaluation is a formal written method done on a semi-annual or annual basis...typical elements of this method are: (A) Has proper budgetary control of all accounts, (B) Delegates the responsibility and authority for maintenance and operation of facilities, (C) Holds regular staff meetings, (D) Has a plan for more than one year for future needs of the school, etc. This method is usually linked to the administrator's job description. This is, elements of the evaluation focus on whether or not the administrator is accomplishing the tasks and duties enumerated in the administrators job description.¹⁵⁶

This is because the evaluation is linked directly to specific elements of job performance.¹⁵⁷

Louis Imundo described performance evaluations in his 1980 book, The Effective Supervisor's Handbook.

¹⁵²

Ibid.

¹⁵³

Ibid.

¹⁵⁴

Ibid.

¹⁵⁵

Ibid.

¹⁵⁶

Ibid.

¹⁵⁷

Ibid.

Performance assessments usually mean the formal process or act of measuring how well an employee has handled assigned duties and responsibilities during a given period of time.¹⁵⁸

Performance assessments are used for a variety of purposes. They are used in compensation administration, promotional considerations, disciplinary considerations, transfer, layoff, assessing training needs, and other procedures.¹⁵⁹

One of the most important benefits to be gained from performance assessments is the strengthening of relationships between supervisors and employees.¹⁶⁰

Performance assessments is not a once a year process, where a supervisor dusts off some antiquated form given to him by the personnel department and goes through the process of checking boxes and writing a few comments in an attempt to inform an employee how well he has or has not performed. It is a continuous part of the day-to-day working relationship between a supervisor and employees.¹⁶¹ A performance assessment is not something a supervisor does at the last moment and then hands to the employee. It is an activity that must be carefully planned.¹⁶²

The key to successfully using performance assessment with employees are: (1) employees understand what is expected of them, (2) they are informally assessed continually, (3) they are appropriately rewarded or disciplined, and (4) they have a right to discuss their feelings and concerns.¹⁶³

Supervisors and employees who have poor working relationship will find the assessment experience painful. In this type of climate more problems will be created or inflated than will be discussed and resolved. Under these considerations, it may be better not to have supervisors conduct formal assessments. This does not mean employee relationship problems will go away; eventually they will worsen. In this type of environment, time and money would be better spent correcting basic relationship problems rather than concentrating on assessments. Once the climate improves, a formal assessment program can be implemented to strengthen relationships.

¹⁵⁸

Louis V. Imundo, THE EFFECTIVE SUPERVISOR'S HANDBOOK (New York: AMACOM, 1980), p. 189.

¹⁵⁹

Ibid.

¹⁶⁰

Ibid.

¹⁶¹

Ibid., p. 190.

¹⁶²

Ibid., p. 200.

¹⁶³

Imundo, op. cit., p. 191.

Performance assessment is composed of two parts, observation and evaluation, and both are subject to bias. Whatever type of system or approach is used, the possibility of bias and prejudice affecting judgment exists. Bias and prejudice problems may be caused by poor system design, interpersonal relationship conflict, differing expectations, and various situational and organizational factors.¹⁶⁴

John McCullough and Howard Fryett had made similar comment about performance appraisals in 1973 as Louis Imundo made about performance evaluation in 1980. The following statements are comments that John McCullough and Howard Fryett in their book about performance appraisals.

Companies which are successful in using performance appraisal techniques for integrating young people into an organization take a different slant on the subject of regularity and substance of performance evaluations. To begin with, they engage in frequent performance appraisals, perhaps as frequent as once a week, and certainly not less infrequent than once a month. Further, their appraisals are regularly concerned with how the person's personal goals fit in with corporate goals. Particularly common in these sessions, when conducted by companies with formalized management by objectives systems, is attention to the fourth of the hierarchy of objectives; self development goals. In fact, many bosses today must file formal reports as to their subordinates' programs toward accomplishing their personal goals at work.¹⁶⁵ Many companies, of course, will argue that they do give regular performance evaluations. To most, however, this means an annual performance review which, because of its infrequency, does little or nothing toward intergrating the new young hire into the business firm.¹⁶⁶

Performance appraisal is a process. it is the continual, occasional, or periodic judgment of the rater - weighing the employee against some kind of standard to see how he measures up. Performance appraisal is a dialogue - between the rater and the employee - to communicate and test that judgment, in order to help the employee to improve so that he will be worth more both to himself and to his employer.¹⁶⁷

¹⁶⁴

Ibid., pp. 192-193.

¹⁶⁵

John P. McCullough and Howard L. Fryett, *PRIMER IN SUPERVISORY MANAGEMENT*, (Dubuque: Kendall/Hunt Publishing Company, 1973), p. 142.

¹⁶⁶

Ibid.

¹⁶⁷

Ibid.

To have effective formal performance appraisal, we need four things: ⁴⁰

1. We need some kind of standards against which to measure each employee. 2. We need some kind of form or report with which to measure. 3. We need trained raters who have the knowledge and the courage to do a good job. 4. We need the active support of a management that wants its people paid in proportion to their contribution; and makes this fact known. ¹⁶⁸

To understand the strengths and weaknesses of performance appraisal, we should also know something about its purposes and uses, ¹⁶⁹

for there are several: The oldest, and still most common purpose of performance appraisal is to provide a basis for salary increase. ¹⁷⁰

A second purpose is to bring out weaknesses so they can be discussed and corrected. ¹⁷¹

Third, development in general, to help the employee make the most of his abilities and be a happy, well-adjusted individual. ¹⁷²

A fourth purpose is to prepare the employee for advancement by examining his aspirations and, if they are reasonable, helping him to attain them. ¹⁷³

Fifth, for placement, so the square peg can be put in the square hole. ¹⁷⁴

Finally, for "motivation" the new key word for getting the most out of people. ¹⁷⁵

Interviews, strive to let the employee talk. You should try to spend much of this performance rating interview time just listening. Some experts have suggested that performance ratings not be written at all, but merely consist of an "in-depth" conversation which would cover pertinent subjects. Your discussion

¹⁶⁸

Ibid.

¹⁶⁹

Ibid., p. 169.

¹⁷⁰

Ibid.

¹⁷¹

Ibid.

¹⁷²

Ibid.

¹⁷³

Ibid.

¹⁷⁴

Ibid.

¹⁷⁵

Ibid.

41

with each employee should be a performance review system where there is no written record. It is a good idea to have suggestions written down so the employee can study them later. In fact, it is good to have the review written so that both of you can refer to it later on, and both of you can have a record of what was said.¹⁷⁶

John McCullough and Howard Fryett offered suggestions to the interviewer so they may have been more effective.

You must always try to exhibit understanding while conducting a performance appraisal interview. You must let the employee know that the work which he is doing is important. You must help him to understand what is expected of him; where he and his individual job fit into the total picture. If you can do this successfully, you will assist the employee in better understanding his position. It will help him in gaining confidence in himself and in his own job.¹⁷⁷

One of the functions of external evaluation is to facilitate self evaluation. The value of self evaluation¹⁷⁸ is that it allows administrators to continue to diagnose what is happening and to make minute adjustments in terms of the information available.¹⁷⁹

In Alfred Wilson's review of literature he found that, "The authors placed great stress on principals self evaluation."¹⁸⁰ He stated that, "One author averred that the high school principal must step back from time to time and objectively and impartially criticize his own efforts."¹⁸¹

Philip Saif also emphasized the concept self evaluation and developed the following model.

¹⁷⁶

Ibid., p. 181.

¹⁷⁷

Ibid.

¹⁷⁸

Bolton, Ibid., p. 52.

¹⁷⁹

Alfred P. Wilson and Vivian Smith, "The Public School Principal's Function in Evaluation as Defined by An Analysis of Periodicals and Books:" ERIC, ED 098 700 (1974), p. 3.

¹⁸⁰

Ibid., p. 11.

¹⁸¹

Ibid.

Principals Self Evaluation Form

INSTRUCTIONS: This instrument is intended for use by the principal as self evaluation. The results are to be discussed with the evaluator. The principal should answer each question as specifically as possible, citing examples whenever appropriate. Use separate sheets of paper and return to the evaluator.

1. What needs did you identify for your school this year?
2. What recommendations did you make to meet those needs?
3. What are the goals and objectives of your school? Please explain how they are consistent with system goals.
4. What steps have you taken to create procedures for evaluating school programs and student achievement?
5. With whom have you reviewed the results of these evaluations, and what recommendations have you made based on the results?
6. Please outline whatever steps you have taken to involve the staff in making decisions concerning curriculum development, implementation and modification.
7. What have you done to encourage innovative approaches to curriculum?
8. To What extent did you seek faculty input on the manner in which the school is being run, and how did you respond to this input?
9. How would you assess the relationships you have established with staff members based upon your observations and analyses of classroom teaching?
10. What needs have your staff members communicated to you?
11. What orientation have you provided for staff members?¹⁸²

The real advantage of self-evaluation is that it tends to reduce the threat of an external evaluator and at the same time increases the potential for creativity and motivation. The disadvantages are that the individual being evaluated may choose to ignore district goals, establish goals incompatible with district goals, examine behaviors in isolation from outcomes, or interpret data in a biased fashion because of prejudice or lack of framework for interpretation.¹⁸³

Self-evaluation has a tendency to focus on the process needed to accomplish objectives rather than on the outcomes produced. This often has been justified on the basis that the outcomes of education are so long-range that it is difficult to attribute causality to any process-product relationship. However, this primary emphasis ----process has been criticized in that very few benefits are obtained from evaluation behavior in isolation from the outcomes.¹⁸⁴

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Philip S. Saif, "A Handbook for the Evaluation of Classroom Teachers and School Principals," ERIC, ED 133 371 (September, 1976), p. 148.

¹⁸³

Bolton, op. cit., p. 24

¹⁸⁴

Ibid.

43

Lorri Manase cautions the use of principals self-evaluation. She claims, principals self-evaluation of their performance do not agree with the evaluation of their supervisors or staff. This demonstrates the importance for districts to set up feedback mechanism to give principals accurate data on their performance.

Models For Evaluation

Philips Saif in 1976 developed the following model for principals evaluations.

A Model For Principal Evaluation

The following model of a principal's job description serves as the framework for the evaluation. Accurate evaluation requires input of data from a variety of sources to assist the principal in the effective performance of his responsibilities, all geared toward the improvement of the student-learning experience.

The job of a principal deals with four major catagories of interrelated responsibilities; (1) management, (2) personnel (including students and staff), (3) curriculum, and (4) human relationships.

The close relationships between Personnel and Curriculum dictates combining the two under one heading (Personnel and Instruction) in the job description.

The evaluative instruments following the job description are designed to give the principal a perception of how he is handling his responsibilities as well as to give constructive suggestions for improvement.

¹⁸⁵ Manasse, op. cit., p. 9.

¹⁸⁶ Ibid., p. 10.

¹⁸⁷ Saif, op. cit., p. 75

¹⁸⁸ Ibid.

¹⁸⁹ Ibid., p. 76.

¹⁹⁰ Ibid.

Project R.O.M.E. (Results Oriented Management in Education)

research and development program supported by the Thomas County School
192 193
System, and the Georgia State Department of Education.

The major activities were concentrated in three broad areas: (1) The development of a list of competencies for building level administrators classified by major functional areas of administrative responsibilities, (2) The development of a prototype instructional module for school planning activities, and (3) the development of an assessment system for measuring competencies of public school principals.¹⁹⁴

An example of a comprehensive feedback system is Richland County (So. Carolina) School District One's Principal Evaluation Process. Each summer, each principal meets with the superintendent, deputy superintendent, and appropriate associate superintendent to assess the principal's performance in the five specified areas of instructional management, communication, management of personnel and student services, fiscal management, and physical plant management.

Data examined at the conference includes observation reports from the associate superintendent, the principal's own needs assessment, the annual custodial and maintenance inspection, the school climate needs assessment (based on a biannual survey and site visit by a district team), and the results of the Productivity Program. The productivity program is an incentive system that awards cash grants to schools that meet criteria on at least four of six productivity indicators: improved reading performance, improved math performance, positive parent attitudes toward school (determined by survey), high attendance of the school staff, high attendance of students, and positive student attitudes toward school (again, by survey).¹⁹⁵

The DeKalb County School System has developed a leadership assessment program unique in education, and possibly unique in any organization. The entire assessment is geared toward professional improvement through staff development based on assessed needs.

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Chad D. Ellett, "How To Improve And Evaluate The Principal's Performance," ERIC, ED 131 590 (1976), p. 13.

192

Ibid.

193

Ibid.

194

Ibid., p. 14.

195

Manasse, Ibid., p. 39.

Three elements of this approach contribute to its uniqueness and address the three common problems usually associated with most assessments: 1) the assessment instrument contains seven "generic" leadership competencies; 2) the assessment is low inference -- assessors respond to observed or not observed to 88 behaviors; and 2) assessment data is collected only from a superordinate, but also from subordinates. The subordinates, the educational leader's staff, have the greatest opportunity to observe the leader's behavior.

The assessment instrument contains seven competencies which are considered "generic" for educational leaders. The leader must demonstrate skill in each of the following competency areas: 1) relating to other people, 2) communicating effectively, 3) making decisions, 4) planning and organizing, 5) supervising and evaluating, 6) improving professionally and providing staff with opportunity to improve professionally, and 7) protecting time on task for teacher and student. Each broad competency is divided into indicators which further describe the competency, and each indicator is subdivided into descriptors of behaviors.¹⁹⁶

Management By Objective (MBO) is both an approach to management and an evaluation technique. As such, MBO and its many variations should be explored in depth before an attempt is made to implement the system. It is stated repeatedly in the literature on MBO that the entire system, with all of its structural prerequisites and interrelated processes, should be implemented if MBO is to realize its full potential.

A brief description of MBO was developed by Odiorne: The system of management by objectives can be described as a process whereby the superior and subordinate jointly identify goals, define individual major areas of responsibility in terms of results expected of him, and use these measures as guides for operating the unit and assessing the contribution of each of its members.¹⁹⁷

Morrissey defined MBO as a management approach that determines: (1) what must be done, (2) how it must be done, (the program steps or plan of action required to accomplish it), (3) when it must be done, (4) how much it will cost, (5) what constitutes satisfactory performance, (6) how much progress is being achieves, and (7) when and how to take corrective action.¹⁹⁸

The apparent success of management by objectives (MBO) in industry has encouraged management specialists in education to try this approach in schools. As agreement has developed that the primary

¹⁹⁶

Null Tucker and SuEllen Bray, "Performance Based Leadership Assessment DeKalb County Schools," ERIC, ED 252 957, (1984), p. 4.

¹⁹⁷

Educational Research Service, 1974, op. cit., p. 14.

¹⁹⁸

Ibid.

purpose of evaluation should be improvement and professional growth, the use of evaluation by objectives has grown. The 1984 ERS survey indicated that, of the responding school districts having formal evaluation procedures, 83.8% now use performance objectives as part of their evaluation program.¹⁹⁹

Ennis made comments on the method used in MBO.

In this method the administrator and the person or persons that will conduct the evaluation mutually agree (monthly, semi-annually or annually) on the objectives to be achieved by the administrator. The evaluation of the administrator is then based on the achievement or lack of achievement of those objectives.

In this method, however, the focus is on the completion of specific objectives (missions) and not on the duties and tasks involved.²⁰⁰

John Black describes a model of evaluation used in the Keystone Oaks Schools. Each administrator has a job description that was mutually developed by the incumbent and the superintendent.²⁰¹ The assistant superintendent meets privately with administrators to review their job descriptions and Key Result Areas (KRAs).²⁰² The School Board decided the extent of the reward system before they received the individual evaluation reports.²⁰³ The board placed full confidence in the superintendent and assistant superintendent to conduct the evaluations fairly and honestly.²⁰⁴

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Educational Research Service, 1985. op. cit., p. 11.

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Ennis, Ibid., pp. 8-9.

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John C. Black, "How To Improve and Evaluate The Principal," ERIC, ED 201 147 (April, 1981), p. 1.

²⁰²

Ibid.

²⁰³

Ibid.

²⁰⁴

Ibid.

²⁰⁵

Ibid.

²⁰⁶

Ibid.

Adrian Geerning used an analysis of literature to develop the following evaluation model which could be applied in any school district.²⁰⁷

A description of activities required for development of the model include:

1. Development of a procedure to select a committee to oversee the process.
2. Development of a job analysis technique to identify the job functions of the principalship in the district.
3. Development of a procedure to identify and weigh the competencies required for performance of the identified job functions.
4. Development of a procedure to measure actual and desired performance level of principals for specified competencies and preferred delivery systems for professional development activities.
5. Description of a procedure for presentation of needs assessment results and identification of professional development needs.
6. Development of an alternative procedure to identify professional development needs.
7. Validation of professional development needs.
8. Development of the professional development program.²⁰⁸

The outcome approach attempts to determine to what extent each goal which the principal has set, often in cooperation with his most immediate supervisor.²⁰⁹

The first level, goal setting, refers to the goals which the principal will set, preferably with his immediate supervisor.

Often these goals fall into three categories. The first deals with common board objectives, what some people call "goals of maintenance"; the second focuses upon new board initiatives which have been or are about to be launched; the third relates to a principal's and the supervisor's priorities.

The second term, setting criterion (criteria) for success indicates how each goal will be measured, or what will constitute success.

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Adrian D. Geerning, "A Prescriptive Model for Determining Professional Development Needs of Principals," ERIC, ED 199 929 (September, 1980), p. 1.

²⁰⁸

Ibid., pp. 1-2.

²⁰⁹

Ronald Duhamel, Cyze, Lanacraft, and Rutherford, "The Evaluation of Principal's Performance," EDUCATION CANADA, Vol. 1, No. 2 (Summer, 1981), p. 25.

The third perspective, assessment, describes the activity whereby the principal, with his immediate supervisor, considers the actual evidence concerning the attainment of the desired outcomes.

Goal setting. The principal reviews the board's goals of maintenance, discusses the board's new initiatives for the coming term and prepares an appropriate goal statement(s), and reviews his priorities for the coming term and prepares an appropriate goal statement(s), all preferably with his immediate supervisor.

Criterion for success. The principal, preferably with his immediate supervisor, notes what will be the criterion (criteria) determining the success of each goal.²¹⁰

Assessment. The principal, preferably with his immediate supervisor, reviews the principal's progress in relationship to each goal.

George Redfern and Paul Hersey developed an evaluation program termed Leadership Excellence Achievement Plan (LEAP) that is based on performance objectives. It has the following components: - Agreeing on job content - Identifying performance level - Reviewing progress - Assessing results.²¹¹

Dale Bolton gave the following elements of an administrator evaluation system.²¹²

1. a cyclical and/or continuous process
2. a systems analysis perspective
3. an interrelationship of process and product of various levels of the organization
4. a relationship of evaluation to other subsystems of management
5. a way of providing direction to the individual and to the organization
6. a planning phase that considers acquisition of needed resources
7. a means for making intermediate decisions
8. organizational support for the process of evaluation of administrators
9. a procedure for making terminal decisions
10. self-evaluation
11. involvement of external evaluators
12. common criteria for administrators
13. individualized goal setting and individualized criteria
14. a schedule for evaluation events
15. a set of purposes for evaluation²¹³

²¹⁰Ibid., pp. 25-26.

²¹¹Educational research Service, 1985, loc. cit., p. 11

²¹²Bolton, Idib., p. 231.

²¹³Bolton, Ibid.

Evaluation of Principals

The main reason for the evaluation of principals is to
 215 216 provide an appraisal of areas of strength and those requiring
 improvement, and it should provide him with some suggested strategies
 to bring about over-improvement while effectively utilizing his
 217 strength.

Alan Gaynor discusses the need to keep in focus the principal's behavior in relation of organizational complexities. Mainly, the intent of evaluation should be to help the principal to understand better the complexities of the bureaucratic, cultural-political, legal, and fiscal environment of the school and to mirror for the principal her/his behavior in relation to that environment. The prime focus should be upon helping the principal to determine what changes in task priority and administrative style are likely to work better, to help the principal to gain the knowledge and skills necessary to make those changes, and to provide formative feedback on the process over time.²¹⁸

An evaluation program with certain basic components is a must to improve the performance of the principal. But evaluation alone is not
 219 enough. Motivation is often a key factor in a successful evaluation
 220 program.

Some factors Manning suggests in evaluating principals are:

- Specificity -- a precise description of what is expected of employees.
- Simplicity -- evaluation should not consume more time than the

214

Duhamel, op. cit., p. 20.

215

Ibid.

216

Ibid.

217

Ibid.

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Bolton, Ibid., pp. 48-49.

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Renfro C. Manning, "Improving Principal's Performance Through Motivation and Evaluation," SPECTRUM, Vol. 1, No. 13 (Spring, 1983), p. 35.

220

Educational Research Service, 1985, Ibid., p. 12.

accomplishment of the task being evaluated, because complicated evaluation processes distract from work.

-Objectivity -- the evaluation process must be accepted as fair by those being evaluated, which requires a heavy reliance upon the assessment of the measurable aspects of performance.

-Coordination -- the evaluation process must be coordinated with staff development programs reflecting the identified needs of each principal.

-Motivation -- the entire evaluation process should encompass a structured program of motivation.²²¹

It is important to keep in mind that the degree to which the principals within a school system are motivated determines the quality of the individual schools, perhaps to a greater extent than any other factor. The program of evaluation and motivation should be combined if a superintendent and school board intend to improve principal's performance.

The program of evaluation and motivation should be combined if a superintendent and school board intend to improve the principals' performance.²²³

The Georgia Principal Assessment System (GPAS) contains a principal evaluation instrument that lists 100 job-related tasks representing five areas of administrative responsibility:

- curriculum and instruction;
- staff and personnel;
- pupil personnel;
- fiscal management;
- systemwide policies and operation.²²⁴

In Alfred Wilson's review of literature he stated:

"Writer states that the principal should know to whom to look for direction and supervision, that he should cooperate with the superintendent and others in planning the evaluation program and in planning routine reviews and improvements of programs. He should also understand that evaluation is a inherent component of accountability."²²⁵

²²¹

Manning, op. cit., p. 34.

²²²

Manning, Ibid.

²²³

Ibid.

²²⁴

Educational Research service, 1985, op. cit., p. 10.

²²⁵

Wilson, Ibid., p. 8.

Gary Yuki's statement tends to concur with Alfred Wilson when he stated.

There is probably also a need for greater emphasis on the responsibility of the district superintendent to monitor the performance of principals and provide coaching and assistance whenever deficiencies are evident. The coaching and counseling function should be carried out in a helpful supportive, non threatening manner and the principal should act more like a professional consultant, "senior colleague" or mentor than like a "boss".²²⁷

Renfro Manning also supports this concept.

If a few basic strategies are adopted that grant decision-making powers to the principal in his or her sphere of operation, if the principal is exposed to a strong leadership development program, and if the principal is given reinforcement through recognition, then Duhamel believes that some of the evaluation of principals, that is, statements regarding their effectiveness or ineffectiveness in the role, stems from a weak data base, sometimes gossip only, from a host of sources, including pupils.²²⁹ Usually this informal process does not appear to include written evaluation. It may not be as needed since the school's objectives, including the principal's goals may be more obvious and better known, as may, indeed, the community evaluation which takes place²³⁰

Informal systems of the past have been blamed for such internal²³¹ destruction and disarray.

James Small the author of one chapter in Jack Culbertson book of 1974 which dealt with assessment of principals performance stated:

Application of performance criteria may be approached in at least three different ways depending upon how a school system answers the question posed earlier as to whose values are to be applied in assessing performance. A school system may define its own values

²²⁶

Gary Yuki, "The Effective Principal," (Reston: National Association of Secondary School Principals, 1981), p. 10.

²²⁷

Ibid.

²²⁸

Manning, Ibid., p. 35

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Duhamel, Idib., p. 26.

²³⁰

Educational Research Service, 1985, op. cit., p. 7.

²³¹

Culbertson, op. cit., p. 31.

and attempt to measure the degree to which a principal implements them; it may adopt criteria generated by a third party (my theory of appropriate role behavior in group-conflict situations) and attempt to measure the degree to which principals behave in this manner; it may attempt to determine what principals see as their goals and whether they are effective by their own standards. If the school system wishes the assessment process to be a fruitful endeavor for the principals involved as well as for the system, it may be highly desirable to begin with the third approach. Once a system knows what its principals are trying to do and what they are doing, it can then begin to answer the question of what they "ought" to do. This approach has the advantage of providing basic descriptive data, rather than attempting to test predetermined hypotheses.

Furthermore, inasmuch as the medium is the "message" there is an immensely important by-product of this approach, apart from any theoretical considerations. This methodology carries a message to principals: the school system wants to learn about their problems in order to help them. The system addresses itself to the problems of the job as perceived by the principal and others in the school as a starting point. It does not evaluate them solely by criteria generated in the central or area office or in the university. As a point of practical strategy alone, this may well make the difference as to whether useful and valid data will be obtained.²³²

This strategy also provides a means of evolving a focus which will define the critical areas in which the principal's role requires re-examination. A substantial input from the principals as to their perception of the change problems should be sought. Principals, in a sense, know the change problems best since they face them every day.

If must be remembered, however, that the principal's job performance can only be measured by looking at the functioning of his school and all the constituencies involved in school life.²³³

Dale Bolton stated that more than one person may collect information to evaluate the principal. His comments were as follows.

To evaluate administrators, information should be acquired regarding processes used with groups of people, processes used alone, and the impact of these processes on the organization and on subordinates and clients. For example, a principal will be engaged in activities with faculty and parent groups, in individual planning and organizing, and the impact of these activities should make a difference in how teachers behave in the classroom. Who collects information about these activities and behaviors depend on what plan is agreed upon by the principal and his evaluator. In

²³²

Ibid., pp. 31-32.

²³³

Ibid.

this instance, at least the following people may be involved; the principal's supervisor, the principal, vice principal(s), teachers, students, department heads, subject-matter specialists (consultants, supervisors), personnel specialists, peers (other principals), and parents.²³⁴

Purpose of Evaluation

"Purposes of Evaluation," assessment procedures are used to stimulate self-development, encourage individual and organizational planning, sensitize the district administration to needs to the school building administrator, facilitate communication between administrators and their staffs, integrate organizational and administrative objective, clarify job expectancies, and in general encourage the development of the administrator and school organization.²³⁵

The identification, discussion, and agreement on the purposes of evaluating administrators is extremely important because the purposes provide the direction and reason for existence of additional activities in the evaluation process. Without purpose activities tend to be generated or omitted on the whim of those involved.²³⁶

It should be emphasized at this point that one of the reasons for having an administrator evaluation system is to allow and stimulate the administrator to do his job better. This means that the evaluator and the evaluatee should profit from the evaluation system; both should know what their job is and how the evaluation system contributes to it.²³⁷

238

David Arnold answered, "Why do we evaluate?"

Evaluation should not be something that is imposed on an employee from outside or from higher up. Employees and supervisors together should set goals, standards, and criteria for measuring employee performance.²³⁹

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Bolton, op. cit., p. 83.

235

Educational Research Service, 1974, op. cit., p. 13.

236

Bolton, op. cit., p. 77.

237

Bolton, op. cit., p. 25.

238

David S. Arnold, EFFECTIVE SUPERVISORY PRACTICES (Washington D.C.: Internal City Management Association, 1978), p. 183.

239

Ibid., p. 186.

Dale Bolton stated:

Generally, the need for evaluation (of either program or personnel) is justified on a basis similar to Landau's suggestion, viz., to prevent and correct error. A slightly different perspective is that the planning necessary to ensure good evaluation allows one to plan for change. At the same time, the planning and carrying out of evaluation procedures permits errors to be corrected.²⁴⁰

The many purposes of administrative evaluation can be divided into two general categories; those serving primarily as a means and those serving primarily as an end. When evaluation functions as an end, it results in a specific culminating judgment regarding administrative performance.²⁴¹

When evaluation serves as a means, it functions as an on-going
242
communication, feedback, adjustment, and assistance process.

Research indicates that these purposes of personnel evaluation can be divided into two general categories: 1) Formative Evaluation - Evaluation serves as a means to help administrators improve their performance ... with the focus on improving the overall educational program. 2) Summative Evaluation - Evaluation serves as an end, a judgment of administrators' performance on which to base an individual administrator's promotion, demotion, incentive pay rewards, and other personnel actions ... Current ERS research conducted for this report indicates that school districts use a combination of these two approaches in their administrator evaluation practices.²⁴³

In both theory and practice, the purpose of evaluation has changed from a means of judgment to a medium for planning, job specification, communication, monitoring, coordination, and recognition.²⁴⁴

Bolton has stated that the major reasons for evaluation include the following:

1. To change goals or objectives.
2. To modify procedures.
3. To determine new ways of implementing procedures.
4. To improve performance of individuals.

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Bolton, op. cit., p. 13.

²⁴¹

Educational REsearch Service, 1974, op. cit., p. 3.

²⁴²

Ibid.

²⁴³

Educational Research Service, 1985, op. cit., p. 6.

²⁴⁴

Educational Research Service, 1974, op. cit., pp. 1-2.

5. To supply information for modification of assignments.
6. To protect individuals or the school system.
7. To reward superior performance.
8. To provide a basis for career planning and individual growth.
9. To validate the selection process.
10. To facilitate self-evaluation.²⁴⁵

In the summer of 1984, ERS surveyed the state department of education in each of the 50 states representing information on state laws concerning administrative evaluation policy. All 50 states were contacted. The survey results indicate that 27 states mandate the evaluation of school administrators. An ERS survey conducted in 1974, in which 47 states responded, found that at that time nine states mandated administrative evaluation.

The state mandates and, in some cases, state guidelines for administrative evaluation are described in the following sections for each of the 27 states reporting such provisions.²⁴⁶

Purpose For Evaluation -- ERS sought information to indicate the various purposes for which districts currently use administrative evaluation.²⁴⁷

Table Ten in the Educational Research Report gives several purposes for evaluation.

TABLE 10 - PURPOSES OF ADMINISTRATIVE EVALUATION

All Reporting Districts	in accordance
Assess evaluatee's performance in accordance with prescribed standards	84.3
Help evaluatee establish relevant performance objectives	81.9
Help evaluatee work toward achievement of objectives	85.3
Identify areas in which improvement is needed	94.8
Determine qualifications for permanent status	25.0
Determine merit pay, incentive pay or bonus awards	23.4
Determine qualifications for promotion	24.4
Determine unsatisfactory performance for demotion or termination	67.2
Other	2.1
No purpose specified	.5
	248
Number responding	872

²⁴⁵

Lipham, Ibid., pp. 259-260.

²⁴⁶

Educational Research Service, 1985, Ibid., p. 41.

²⁴⁷

Ibid., p. 27.

²⁴⁸

Ibid., p. 39.

Wayne Bottoni believes that effective evaluation begins with a
 249 positive approach to motivation. Philip Saif stated, evaluation is
 seen generally as a required negative experience to which all must
 250 submit. Often as not this negative anticipation of evaluation
 thwarts the intended result, sometimes even creating more difficulties
 251 and/or problems that existed prior to the evaluation.

The important people, the significant others who have various expectations of the principal, define what is called the role set. These people or, more accurately, sets of people, include teachers, students, parents, citizens, high administrators, and school board members, among others. Generally there is variation among role expectations, variations that can sometimes be intense and that can cause considerable psychological or political discomfort for the principal.

Such role conflicts can be analyzed, and statutes that may lead to improved leader effectiveness can be developed for dealing with it.²⁵²

In a publication by the National Association of Secondary School Principals, role clarification was cited by the principal as the main avenue through which the job could be made more manageable and
 253 effective.

Louis Imundo made a similar statement that; Setting objectives and goals give individuals or groups of employees something upon which to
 254 focus their efforts.

249 Wayne R. Bottoni, "How To Evaluate and Improve the Principals Performance," ERIC, ED 247 644 (March, 1984), p. 1.

250 Saif, op. cit., p. 2.

251 Ibid.

252 Culbertson, Ibid., pp. 54-55.

253 Gorton, op. cit., p. 60.

254 Immundo, Ibid., p. 188.

A consideration of the need for evaluation should not be made separately from the overall mission of the school system in the particular locale. Too often the evaluation system is viewed as something entirely separate from the mission of the organization and such a perspective gives no direction whatsoever to evaluation. Unless the evaluation system contributes directly to accomplishing the major goals of the organization, it will be viewed as a necessary evil at best or a useless appendage at worst. Therefore, the evaluation of administrators must be an integral part of the management system in order to accomplish the mission of the school district without this, it will be endured or ignored.²⁵⁵

Another purpose of the evaluation system that is often overlooked.²⁵⁶ Evaluation information can also be helpful in determining whether certain interviewers are effective, whether decision strategies being used are appropriate, and whether certain information tends to be overlooked or stressed too much in the selection process.²⁵⁷

Ronald Duhamel cautioned that:

In the absence of a visible evaluation mechanism, one cannot assume that evaluation does not occur. Rather, the person being evaluated may simply be unaware of the process or of the particular criteria being used.²⁵⁸

In conclusion, then, it can be said that all purposes for evaluation of administrators should be discussed openly and clarified in writing so that all who are involved may understand the basis for the evaluation program.²⁵⁹

Planning for a Program of Evaluation

If you are going to improve your relations with your employees, one of the places you must start is with an improvement in the way you evaluate their performances. You must accomplish these evaluations in a manner which will indicate to the employees that you are genuinely concerned about, and interested in, each of them as an individual.²⁶⁰

²⁵⁵

Bolton, Ibid., p. 14.

²⁵⁶

Ibid., p. 52.

²⁵⁷

Ibid.

²⁵⁸

Duhamel, op. cit., p. 20.

²⁵⁹

Ibid.

²⁶⁰

McCullough, Ibid., p. 181.

Proper system design is important. It is virtually impossible to get good results with a poorly designed system, unless supervisors ignore the system or learn to work around it.²⁶¹

Some statements of purposes for evaluating administrators include a philosophical statement, indicating what the adopting body believes to be true about such things as behavior, the nature of man in general, the way adults learn, and motivational factors for adult behavior.²⁶²

The design of an effective evaluation program begins with the district formulating its philosophy on evaluation and its appropriate purposes in the particular school setting.²⁶³ A major step in administrative evaluation is the establishment of a broad school board policy,²⁶⁴ to establish the purposes for evaluating administrators. If the evaluation system is to be successful, these purposes must be identified, discussed, and agreed upon by all who are involved in the process.²⁶⁵ A properly designed system will not work unless supervisors are given through training, guidance, counseling and coaching.²⁶⁶

It is generally recognized that the following can be evaluated: (a) characteristics or personal qualities of administrators (such as emotional stability, appearance, and sociability), (b) functions performed (such as implementation or maintenance), (c) procedures used by administrators (such as conducting in-service programs for teachers, planning with Parent Teacher Student Association (PTSA) groups, or initiating a change in some aspect of the curriculum), and (d) results of behavior (such as changes in teacher behavior, or changes in school climate or parental satisfaction). It is important to keep in mind that any one of these variables may be

²⁶¹

Imundo, *Ibid.*, p. 190.

²⁶²

Bolton, *op. cit.*, p. 48.

²⁶³

Educational Research Service, 1985, *op. cit.*, p. 6.

²⁶⁴

Bottcni, *Ibid.*, p. 4.

²⁶⁵

Bolton, *op. cit.*, pp. 47-48.

²⁶⁶

Imundo, *Ibid.*, p. 191.

expressed as a general goal or a specific objective to be attained, but considerable confusion occurs when goal expectations are not clarified.²⁶⁷

The Educational Research Service stated that there were:

...three basic components of evaluation: (1) development of standards of administrative effectiveness, (2) assessment of administrative effectiveness, and (3) accomplishment of the purposes of administrative evaluation.²⁶⁹

Ronald Duhamel believed that:

...very few systems seem to have addressed three which appear to be basic to evaluation. What is the function of the principal in the jurisdiction? How well is the principal fulfilling that function? What evidence is offered in support of the preceding question?²⁶⁹

In order that the superintendent and the board of education can²⁷⁰ work effectively together, their respective function must not conflict in practice.²⁷¹ To be held responsible, an administrator must know clearly what his responsibilities are.²⁷² Evaluation must be valid and reliable in fulfilling its functions if it is to be a productive process and not just a time-consuming exercise.²⁷³ Consequently, the evaluation process itself must be examined to²⁷⁴ determine whether or not it is performing its function.

²⁶⁷ Bolton, Ibid., pp. 57-58.

²⁶⁸ Educational Research Service, 1974, Ibid., p. 5.

²⁶⁹ Duhamel, Ibid., p. 27.

²⁷⁰ Hunkins, op. cit., p. 7.

²⁷¹ Ibid.

²⁷² Educational Research Service, 1974, Ibid., p. 6.

²⁷³ Educational Research Service, 1974, op. cit., p. 3.

²⁷⁴ Ibid.

Before any performance assessment program can be developed and implemented, employees must understand the responsibilities and duties of their jobs, the purposes of performance assessment, the basis on which their performance will be assessed, and the types and limits of the rewards and discipline to be given in conjunction with performance or lack thereof. They must also know their rights of appeal for perceived unfairness and the channels and procedure to be followed in appeal.²⁷⁵

Clear purposes of the evaluation system will provide direction for
the evaluation and managerial system.²⁷⁶

Having articulated district wide goals, district needs to develop congruent systems for evaluating principals, based on clearly articulated criteria and processes upon which principals and their supervisors agree.²⁷⁷

There are many types of standards in any organization. They can range from standards for personal hygiene to standards of product quality. The less analysis that goes into developing a standard, the higher the probability that the standard will be inaccurate.²⁷⁸ Because of this, it is imperative that those whose responsibility it is to realize the organization's objective become totally aware of the values and priorities held and supported by those in governing positions. These are often goals upon which administrators are judged in terms of effectiveness.²⁷⁹

There is not much doubt that the way in which the evaluation system is planned and administered has an impact on the interrelationship between the evaluator and the evaluatee. It can reduce trust and communication or it can increase them.²⁸⁰

...goals of any manager or group support the objective at the next higher level of organization, the structure of the organization and the content of a managers job responsibilities become interrelated in a pattern that is highly motivational.²⁸¹

²⁷⁵

Imundo, Ibid., p. 192.

²⁷⁶

Bolton, op. cit., p. 22.

²⁷⁷

Manassee, op. cit., p. 38-39.

²⁷⁸

Imundo, op. cit., p. 187

²⁷⁹

Duhamel, op. cit., p. 20.

²⁸⁰

Bolton, op. cit., p. 18.

²⁸¹

McCullough, op. cit., p. 81.

...agreement on the type of data collection to be used with each objective should be made during the planning period.²⁸²

John Savage, in a 1983 article for School Administrator, suggest that to determine the adequacy of a given administrative evaluation system, the district should determine the adequacy of the six essential components:

1. Board of Education policy
2. Administrative Policy
3. Job Description
4. Substantive Criteria
5. Objective Data
6. General and Specific Focus²⁸³

Dale Bolton developed a list of questions to be used in the design²⁸⁴ of the evaluation system.

Is the system based on the reality of the situation that exists, and is everyone involved in the evaluation process well informed regarding this reality?²⁸⁵

Is there evidence that all purposes for evaluating administrators have been stated clearly and that the evaluation system is designed to accomplish the stated purposes?²⁸⁶

Is there evidence that the evaluation system has been designed with a consistent view of the nature of the administrators, the organization, and the roles to be performed by the administrators in the organization?²⁸⁷

Is there evidence that the criteria for evaluation of administrators are sufficiently specific, written to clarify the relationships of processes and outcomes, flexible enough to be pertinent for various situations, and real enough to evoke commitment.²⁸⁸

²⁸²

Bolton, Ibid., p. 65.

²⁸³

Educational Research Service, 1985, Ibid., p. 8.

²⁸⁴

Bolton, Ibid., p. 115.

²⁸⁵

Ibid.

²⁸⁶

Ibid., p. 116.

²⁸⁷

Ibid., p. 117.

²⁸⁸

Ibid.

Is there evidence that the system for evaluation clearly indicates who will collect information, when the information will be collected, and under what circumstances the information will be collected?²⁸⁹

Is there evidence that the evaluation system for administrators is designed to be cyclical and continuous, to be a functional subsystem of the overall strategy of management, and to attend to the organizational and individual needs?²⁹⁰

Is there evidence that those involved in implementing the evaluation system are committed to it as it has been designed?²⁹¹

Is there evidence that the implementation of the evaluation system has adequately considered such morale factors as potential adversarial relationships and surprises?²⁹²

Is there evidence that adequate training of evaluators has been provided so the evaluation system can be implemented as designed?²⁹³

Is there evidence that the evaluation system has been implemented in such a way that it will sustain itself over a period of time?²⁹⁴

Dale Bolton developed a list of questions to be used in the design of the evaluation system.

1. Is the evaluation system helping administrators do their job better?
2. Is evaluation functioning in all aspects of the management system?
3. Is sufficient time being spent to implement the evaluation procedures?
4. Is the system of evaluation purposeful?
5. Is the evaluation of administrators cyclical and self-correcting?
6. What results can be attributed directly to the administrator evaluation system?²⁹⁵

²⁸⁹

Ibid., p. 118.

²⁹⁰

Ibid.

²⁹¹

Ibid., p. 121.

²⁹²

Ibid.

²⁹³

Ibid., p. 122.

²⁹⁴

Ibid., p. 123.

²⁹⁵

Ibid.

Ennis outlined his evaluation model in a boards philosophy statement.

The key to effective administration and supervision is able administrative and supervisory personnel whose performance is evaluated or assessed with a view to improving their administrative-supervisory competence and stimulating their professional growth. By its very nature, an effective administrator-supervisor evaluation program must be cooperative; based on valid performance criteria; and comprehensive in that all factors in the administrative-supervisory situation are considered. Evaluation is continuous and on-going. it must provide for self-diagnosis of performance; establishment of performance objectives; self-evaluation of objectives accomplishment; evaluator's assessment of objectives accomplishment and overall assesment of administrative-supervisory performance.

It is the evaluation process that strengths and weaknesses in the administrative-supervisory performance are identified; objectives and activities are jointly developed to overcome identified areas that need improvement; plans of action prepared for adequate and appropriate assistance; and such necessary action taken as demanded by the situation.

Basic to the above philosophy is a basic trust among participants, administrative team concept, and the democratic principles of our society.²⁹⁶

Educational Research Service developed and collected data for the following tables to develop and understanding of evaluations by boards of education.

Table 1 - Percent of school districts having formal methods or procedures for periodically evaluating the performance of administrative and supervisory personnel.

	All Reporting Districts
Yes	85.9
No	14.1
No Response	----
Number Responding	1016 ²⁹⁷

²⁹⁶

Ennis, Ibid., p. 11.

²⁹⁷

Educational Research Service, 1985, Ibid., p. 30.

Table 4 - APPROACHES USED BY SCHOOL DISTRICTS IN EVALUATING ADMINISTRATORS AND SUPERVISORS.

All Reporting Districts

Evaluation of personal traits or characteristics	71.6
Process or means used in performing specific functions, e.g., supervision	88.6
Evaluation of outputs or results in terms of specific objectives	83.8
Other factors	7.2
No response	1.1
Number responding	872 ²⁹⁸

Emergent-Formal Evaluation

Today, a new method of evaluation makes it a less painful and more productive experience for both the worker and supervisor. Briefly it is a problem-solving approach to evaluation, as opposed to the older critical, "here's-what-is-wrong-with-you" approach. Evaluation today is aimed at working out better methods of doing the job in the future instead of emphasizing and dwelling on what happened in the past.²⁹⁹

Basic personnel evaluation is not a complicated process if it consists of two broad components; a definition of desired outcomes and an agreed upon method of assessing the degree to which the outcomes are achieved. Determining a response to the questions what, why, when, where, who, and how helps assure that the two components are described properly.³⁰⁰

Wayne Bottoni similarly agreed with the above statement, which follows:

Basic personnel evaluation is not a complicated process if it consists of two broad components: a definition of desired outcomes and an agreed upon method of assessing the degree to which the outcomes are achieved. Determining a response to the question "what, why, when, who, and how" helps assure that two components are described properly.³⁰¹

²⁹⁸

Ibid., p. 31.

²⁹⁹

Arnold, Ibid., p. 185.

³⁰⁰

Manning, op. cit., p. 34.

³⁰¹

Bottoni, op. cit., p. 3.

Emergency evaluation, however, is seen as a tool to aid in decision-making. The tasks of (1) identifying an education problem or need, (2) devising or selecting a treatment to cope with it, (3) implementing the treatment procedures, and (4) determining the treatment's feasibility, quality, effectiveness, and efficiency require a series of decisions which evaluation can aid. The process of collecting and interpreting data relevant to this series is seen as the substance of evaluation.³⁰²

The results of the 1984 ERS survey indicate that 85.9% of the responding districts currently have formal evaluation systems for administrators.³⁰³

The Educational Research Service developed the following table.

PROCEDURES USED TO EVALUATE ADMINISTRATORS AND SUPERVISORS (GENERAL PRACTICE).

All Reporting Districts

Evaluation procedures that are a part of general practice:

Written self evaluation	56.0
Preliminary conference held before evaluation period begins	69.3
Periodic evaluator-evaluated "conferences" held during evaluation period	63.2
Midpoint checkup conference only	27.3
Conference held at conclusion of evaluating period	95.2
Evaluated receives copy of evaluation report	96.3
Evaluated signs evaluation report of evaluation	90.7
Evaluated may file dissenting statement if assessment considered unfair	90.8
Routine review of evaluation by individual/group other than original evaluator	34.9
Evaluated may request review by other than original evaluator	41.0
Number responding	869 ³⁰⁴

³⁰²

Manahan, *Ibid.*, p. 378.

³⁰³

Educational Research Service, 1985, op. cit., p. 2.

PROCEDURES USED TO EVALUATE ADMINISTRATORS AND SUPERVISORS (GENERAL PRACTICE).

³⁰⁴

Ibid., p. 34.

Current research on ADMINISTRATIVE EVALUATION in education advocates formal, structured procedures which clearly define desired outcomes and use a method of measuring achievement that is well known by all involved.³⁰⁵

Rensis Likert indicates that decisions are better under participative management because they are based on more accurate, adequate information. He also states that shared decision-making increases the motivation to achieve.³⁰⁶

A successful operation depends on a school board setting the parameters and then judging the quality of work within these parameters.³⁰⁷ The system used for evaluating administrators must be considered as a subsystem of the total personal system.³⁰⁸

Performance assessments are also affected by situational and organizational factors. An employee's popularity can affect his assessment. It is easier to assess an unpopular employee as a poor performer than to assess a popular employee the same way. An employee's relationships with others, especially higher-level managers, is a significant factor.³⁰⁹

How closely employees work with their supervisors and how frequently they interact with them can influence a performance assessment. The saying "out of sight, out of mind" is appropriate.³¹⁰ Employees who work closely with their supervisors are able to influence the supervisors' perception almost continually.³¹¹

³⁰⁵

Educational Research Service, 1985, op. cit., pp. 6-7.

³⁰⁶

Educational Research Service, 1974, Ibid., p. 14.

³⁰⁷

Manning, Ibid., p. 35.

³⁰⁸

Bolton, op. cit., p. 21.

³⁰⁹

Imundo, Ibid., p. 195.

³¹⁰

Educational Research Service, 1974, op. cit., p. 1.

³¹¹

Imundo, Ibid., p. 196

No attempt should be made to mold an employee into a stereotype, but rather to improve his overall value to the organization by helping him to grow in the areas in which he does well.³¹² All parties negotiate in a give-and-take climate to reach a common understanding of standards.³¹³

"It is far better to ask subordinates to participate in goal setting than to state specifically that quantitative goals are mandatory." This is particularly good advice when MBO procedures are being initiated because many people have reservations that can turn into resistances.³¹⁴

People resist the evaluation process for a number of reasons, most of which have to do with anxiety in confronting others with one's own perceptions of reality and change.³¹⁵

Throughout the evaluation process, and especially as measurement is being considered, the emphasis should be on making judgments in relation to established objectives, not on judging the personal worth of individuals.³¹⁶

George Redding warns against measuring qualities that contribute to what is described as "apparent" effectiveness rather than measuring variable that measure output or what an administrator produces from a situation by managing it appropriately.³¹⁷

One side tends to say that subjective judgment allows far too much bias, which Ingle describes as a "my biases are as good as their biases" argument; the other side tends to say that those aspects of the job that can be objectified are not what make a good or bad administrator, which he describes as an "if you can measure it, it does not matter" argument.³¹⁸

³¹² McCullough, Ibid., p. 133.

³¹³ Imundo, op. cit., p. 187.

³¹⁴ Bolton, Ibid., p. 88.

³¹⁵ Bolton, op. cit., p. 37.

³¹⁶ Ibid., p. 78.

³¹⁷ Bolton, loc. cit., p. 88.

³¹⁸ Bolton, op. cit., p. 18.

Some critics suggest that information generated from evaluation of personnel may be used for other purposes. Of course, the data obtained from any evaluative mechanism may be misused.

Evaluation process is cyclical and continuous rather than linear and terminal. This means that once information is used, one begins again to plan for the collection of additional information.³²¹

The accumulation of information over a long period of time is not as beneficial as providing it soon after events occur. To be most useful, feedback should be prompt.

Most employees want feedback on how they are performing in relation to standards or expectations. They also expect to be rewarded for their contributions to the organization. All organizations must develop performance assessment systems that can consistently and, if properly used, accurately measure employees' performance. It goes without saying that rewards must be geared to performance.³²⁴

The evaluation system should be monitored to determine whether it is accomplishing what it is designed to accomplish. Monitoring the evaluation system should be specified as a given person's responsibility, but it cannot be done effectively without the support and backing of the top administrators.³²⁵

The research results of Hans Anderson and Ralph Mosher and David Purpel indicate that evaluation, if it is to result in improved performance, should be "supportive" and concerned with the professional growth of the administrator. Both refer to a "client-centered counseling approach" through which: (1) the supervisor is a facilitator of self-evaluation, (2) relationships between the administrator's activities and results are explored, (3) consideration is given to obstacles, and (4) the administrator is encouraged to develop revised ways of thinking.³²⁶

³¹⁹

Ibid., p. 92.

³²⁰

Ibid.

³²¹

Imundo, Ibid., p. 190.

³²²

Bolton, op. cit., p. 25.

³²³

Ibid.

³²⁴

Imundo, loc. cit., p. 190.

³²⁵

Bolton, loc. cit., p. 25.

³²⁶

Educational Research Service, 1974, Ibid., p. 25.

Clear Expectations

A clear understanding of job expectations is absolutely
 327
 essential.

The job description is generally considered a beneficial tool in managing an organization when used as a basis for discussion about priorities, significant elements of the job, and elements that have changed since prior discussions.³²⁸

The three areas of responsibility often included in job descriptions are (a) performance of regular and/or routine duties, (b) achieving satisfactory solutions to problems, and (c) completing new and innovative projects.³²⁹

To improve performance we must have positive feed back about job performance and the results must be stated clearly and is in measurable
 330
 terms. Standards do not have to be precise. What is important is that the employees have a clear understanding of what is expected of
 331
 them.

Whatever standards are expectations for performance are developed, they must be communicated to employees.³³²

Unless supervisors establish and communicate performance standards, employees will be influenced by others to establish their own performance standards. It is not unusual to find that employees' standards for performance or what they believe is a good job, are lower than the organization standards or expectations.³³³

327

George B. Redfern, *EVALUATING TEACHERS AND ADMINISTRATORS: A PERFORMANCE OBJECTIVE APPROACH* (Boulder: Westview Press, Inc., 1980), p. 123.

328

Bolton, *Ibid.*, p. 75

329

Ibid.

330

Bottoni, *Ibid.*, p. 6.

331

Imundo, *op. cit.*, p. 186.

332

Imundo, *op. cit.*, p. 185.

333

Ibid.

Setting goals³³⁴ should be actions designed at fulfilling the responsibilities spelled out in the job description.³³⁵ Goals should³³⁶ cover actions such as training or counseling which might be needed to help the worker meet these responsibilities.³³⁷ Goal should³³⁸ be challenging but at the same time realistic.

Supervisor and employee should agree that all the goals stated are relevant to the employee's job and are set forth in the right order of importance, and that enough time is available to reach them.³³⁹

If this is put in writing in the form of general goals or specific objectives, and if communication is open and authentic between an administrator and the evaluator, then the potential conflict between these roles may be alleviated somewhat.³⁴⁰

Whether the employer's expectations are in written form (job description, broad areas of performance, characteristics of excellence, standards of quality, etc.) or indicated orally, it is wise to discuss them before establishing specific performance objectives.³⁴¹

Surely one of the more important aspects of administrator evaluation, and one that captures the attention of most people, is determining what should be evaluated.³⁴²

³³⁴ Arnold, loc. cit., p. 185.

³³⁵ Ibid.

³³⁶ Ibid.

³³⁷ Ibid.

³³⁸ Ibid.

³³⁹ Ibid., p. 186.

³⁴⁰ Bolton, op. cit., p. 54.

³⁴¹ Redfern, Ibid., p. 123.

³⁴² Bolton, op. cit., p. 53.

Certainly this task precipitates the largest number of differences among people who are intimately involved, including differences as to perceptions of role expectations, how goal statements should be written, the setting of priorities, and the determination of variable to be considered.³⁴³

During the planning phase, the evaluatee should help to determine³⁴⁴
the criteria on which he or she will be evaluated.

To be effective, a performance discussion should result in agreement between supervisor and subordinate on what is to be done and a commitment on the part of the subordinate to carry out the agreed upon action.³⁴⁵

Patricia Smith suggests that effective criteria must be:

- relevant -- valid and reliable measures of the characteristics being evaluated;
- unbiased -- based on the characteristics, not the person;
- significant -- directly related to goals;
- practical -- measurable and efficient.³⁴⁶

It is helpful if these values and assumptions are explicitly³⁴⁷
stated and discussed.

Such discussion and writing should help to alleviate any unknowns that would lead to fear, hostility, resistances, and low morale and should promote commitment of administrators to the activities involved.³⁴⁸

It is far better to ask subordinates to participate in goal setting than to state specifically that quantitative goals are mandatory.³⁴⁹

John Keegan suggest the following sequence for developing performance objectives:

³⁴³

Ibid.

³⁴⁴

Bolton, op. cit., p. 19.

³⁴⁵

McCullough, op. cit., p. 130.

³⁴⁶

Educational Research Service, 1985, Ibid., p. 9.

³⁴⁷

Bolton, op. cit., p. 48.

³⁴⁸

Ibid., p. 53.

³⁴⁹

Ibid., p. 88.

1. Identify purpose or reasons for evaluation of administrators, keeping the number to a minimum.
2. Identify the characteristics or job functions that relate to the position being evaluated.
3. Identify the "indicators" or "tasks" that are necessary to carry out in order for the job function (characteristic) to operate smoothly.
4. State the indicators (tasks) in performance terms.³⁵⁰

Anthony Raia provides us with a set of guidelines that relate directly to whether an objective is worth doing:

1. It should be realistic and attainable.
2. It should be both relevant and important.
3. It should be challenging.
4. It should be consistent with organization plans, policies, and procedures.³⁵¹

An objective should be well written so that all who are being asked to commit themselves to it will understand what is to be done. The following criteria for a well-written objective:

1. It should be clearly written, avoiding such relative terms as "adequate, sufficient, reasonable," since they lead to countless misunderstandings and make measuring practically impossible.
2. It should focus on an identifiable outcome or result as a target.
3. It should specify the action to be taken, the activities to be engaged in.
4. It should specify who should accomplish the objective.
5. It should be time limited, specifying not only when it is to be accomplished but also any time constraints.
6. It should specify cost, in terms of all resources needed.
7. It should be stated so that it is verifiable.³⁵²

Once standards or expectations are established, they must be communicated.³⁵³ Communication is really the heart of supervisory activities.³⁵⁴

³⁵⁰

Bolton, op. cit., p. 55-56.

³⁵¹

Ibid.

³⁵²

Ibid.

³⁵³

Ibid.

³⁵⁴

Imundo, Ibid., p. 189.

The supervisor exerts his influence only by conveying ideas, feeling, and discussions to his subordinates. They, in turn, must communicate with the supervisor if he is to appreciate their responses to his actions and their own personal ideas, opinions, and problems.³⁵⁵

Bolton further suggested that many problems may be avoided by openly discussing all purposes, rather than allowing some to be considered as a hidden agenda, only to emerge during the decision phase of the evaluation process.³⁵⁶

Evaluation programs that have written statements of purposes that are clear, precise, and complete are more likely to produce a sound basis for open communication and cooperative relationships than programs designed around ambiguous or unwritten purposes.³⁵⁷

In general, the accuracy of measurement may be improved by clearly defining results desired, developing specific items, specifying circumstances under which information is to be collected, using appropriate recording procedures, and providing adequate training for information collectors.³⁵⁸

Rains Wallace (1974:403-404) discusses a similar idea and indicates that we can predict what people will say about an individual's performance better than we can predict the performance itself. He suggests that we may exist in a system where we value a quality that we might call "the ability to make people say good things about oneself." If this is the case, we should be very careful to identify precisely what we want to measure rather than fall prey to being influenced by the ability of a person to cause others to think well of her or him.³⁵⁹

Evaluators

Performance discussions traditionally serve as an opportunity for a supervisor to express his opinion to a subordinate about the subordinate's behavior so that behavior considered undesirable by the supervisor might be modified. This process, by basic design, invokes conflict.³⁶⁰

³⁵⁵

Ralph W. Reber, *BEHAVIORAL INSIGHT FOR SUPERVISION* (Englewood Cliffs: Prentice-Hall, Inc., 1975), p. 137.

³⁵⁶

Lipham, *loc. cit.*, p. 260.

³⁵⁷

Bolton, *loc. cit.*, p. 53.

³⁵⁸

Ibid., p. 90.

³⁵⁹

Bolton, *loc. cit.*, p. 88.

³⁶⁰

McCullough, *op. cit.*, p. 129.

Based on their partial information, the superior develops an overall or gut feeling about the employee. Gut feeling can be accurate, but they are often prone to error because they are based on emotions, not facts.³⁶¹

Supervisors often permit their own values and perceptions to affect judgements about employee performance.³⁶² Supervisors, like everyone else, have a tendency to characterize and stereotype people.³⁶³

Prime examples of prejudice in performance assessments are age, job tenure or seniority, sex, religion, ethnic origin, and race.³⁶⁴ Some people have a tendency to be consistently lenient while others tend to be harsh.³⁶⁵ Effective supervisors learn to control their personal feelings and remain objective.³⁶⁷

Andrew Halpin and Don Croft conclude that there is "strong and convincing evidence that many of the measures which have been used in education as purported indices of a school's 'effectiveness,' or of an administrator's 'effectiveness,' do not justify the blind confidence that many of us have placed in them."³⁶⁷

Safeguards must be built in to ensure that the assessment is as fair, accurate, unbiased, and beneficial as possible and that it is perceived as such by those in the school. Seven strategies can help ensure this:

1. Prior interpretation of the assessment and an orientation of those to be involved on a face-to-face basis are important.
2. A team can carry out the assessment in situations where interview or observation is involved and subjective judgements are a factor. The assessment team could include central or area office staff, or a combination of the two.

³⁶¹

Imundo, Ibid., p. 199.

³⁶²

Imundo, op. cit., p. 197

³⁶³

Imundo, op. cit., p. 194.

³⁶⁴

Ibid.

³⁶⁵

Bolton, op. cit., p. 64.

³⁶⁶

Imundo, Ibid.

³⁶⁷

Educational Research service, 1974, op. cit., p. 2.

3. Feedback of data to the principal and encouragement of follow-up concerns identified by himself and others in the school help.
4. Follow-up by the school system on needs identified, such as inservice training, other supportive services, and administrative follow-up is useful.
5. When tapping subjective areas (Faculty or principal's perceptions of principal's role or faculty and principal's perception of desirable changes), efforts must be made to focus on specific behaviors observed or advocated rather than on global judgments.
6. Assessment must also focus on existing mechanisms, areas in which such mechanisms need to be developed, whether existing mechanisms involve truly representative participation, and ways in which existing mechanisms can be improved or supplemented.
7. Assessment should focus wherever possible on "case studies" in attempting to derive a picture of how change situations are handled by the principal and how mechanisms for change are functioning in the school.
8. In order to do this effectively, it must be clear that this standard procedure being used to provide a basis for helping principals with change problems.
9. The profile of a given principal's performance includes input from the various constituencies of the school as well as self-evaluation and the judgments of the school system's evaluation team. it is thus comprehensive and collaborative.
10. Wherever ambiguities or contradictions are found in data generated by questionnaire or other indirect means, face-to-face situations are built in to allow the assessment team to check out such factors.³⁶⁸

The Educational Research Service Report of 1985 reported who evaluates the principals in their table number seven.

³⁶⁸

Culbertson, Ibid., p. 70.

TABLE 7. - PERSONS WHO EVALUATE ADMINISTRATORS AND SUPERVISORS

All reporting districts

Principals	
Board of Education	5.7
Superintendent	61.1
Deputy or Assoc. Superintendent	18.5
Assistant Superintendent	37.5
Directors, Managers, and Coordinators	17.8
Supervisors of Instructional Area	5.7
Principals	2.2
Assistant Principals	2.9
Teachers	13.7
Parents	1.2
Students	2.1
Evaluation Team	.9
Other	..
	369
Number Responding	854

Measures and Rating Scales

If a profile of school functioning is necessary in order to assess principal performance; it might be desirable to put any measurement effort in the context not simply of an assessment of the principal but of an effort to help principals assess the way their schools are functioning and what they can do about it.³⁷⁰

Employees' performance, as compared to standards or expectation, must be assessed to determine which employees meet or exceed standards and which employees do not meet minimum standards. Rewards to reinforce desired behavior, and discipline to influence a change in unacceptable behavior, must correlate with standards or expectations.³⁷¹

One should be aware of certain problems that often occur in measurement; prejudice, bias, or poor judgment; inconsistency of reaction to behavior; ratings and classifications requiring high inferences; outside and inside influences on the measurer; attempts to measure too much; continuation of a prior viewpoint; and consistent over- or under-valuation.³⁷²

369

Educational Research Service, 1985, Ibid., p. 37.

370

Culbertson, op. cit., p. 33

371

Imundo, op. cit., p. 189

372

Bolton, op. cit., p. 78.

Various headings are used for this, including establishing goals and objectives, setting targets, specifying standards of performance, and determining criteria. Regardless of what one calls it, there is the necessity to determine a standard against which comparisons can be made.³⁷³

Systematic observation procedures, rating scales, and checklists may be useful in measuring processes and products of administrators. In using less systematic procedures such as rating scales, care should be taken to differentiate between ways of collecting, displaying, and treating data. The development of rating scales has certain advantages over using standardized scales, but care should be taken to develop scales that are independent of each other. Research studies have reported self-ratings to be valuable information, and they may prove helpful as an adjunct to external ratings.³⁷⁴

The key to understanding the appraisal is not the scale per se, but the way the appraiser responds to the scale, to following format and completing the scale. Without understanding how the appraiser "appraises," it is impossible to interpret the validity of his appraisal. It is exactly in this area that there are serious defects in these four most prominent methods. In both ranking and rating methods, the appraiser judges a man's competence by estimating it on a scale from "high-to-low." The limits of "high-to-low" are determined in the ranking method by the level of the actual competencies of the persons being rated, and the top-bottom limits presumably vary from one work group to another. In the rating method, the limits of "high-to-low" are predefined by a theoretical range; presumably, regardless of how variable the actual competencies of differing work groups are, any group should fall within the theoretical range.³⁷⁵

However, there is ample experience to indicate that (a) the form used to record summary evaluation information may be a necessary element for most evaluation systems, but it certainly is not sufficient for optimum success. Therefore, one should resist the urge to search first for forms; rather, careful consideration should be given to the uniqueness of the organization (including its special values and mission) and how the evaluation system can contribute to the overall managerial strategy to be used.³⁷⁶

³⁷³

Bolton, loc. cit., p. 53.

³⁷⁴

Ibid., p. 90.

³⁷⁵

McCullough, Ibid., pp. 183-184.

³⁷⁶

Bolton, op. cit., p. 14-15.

The following suggestions are made to improve the accuracy of measurement procedures and to reduce the discrepancies among evaluators:

1. Clearly define the focus of the evaluation, and in so doing be sure to specify results desired.
2. Develop specific, low-interference items.
3. Specify the circumstances under which information is to be collected.
4. Use a record form agreed upon by evaluatees and information collectors, making sure that the record is distinct from the summary report device.
5. Provide adequate training for those collecting information. When items are specific, interrater reliability is increased to the point where rating scales are comparable to systematic categorical observation systems. This indicates that homemade devices can be as useful as standardized procedures if they are carefully developed.³⁷⁷

Rating devices that require an individual to come to a conclusion about several bits of information and to respond to a single scale can sometimes cause problems.³⁷⁸

Barry M. Cohen offered four appraisal scales:

Ranking methods: the rater summarily judges competence by ranking persons from top to bottom, presumably by comparing the worth of each rater to all others.³⁷⁹

Rating Methods: the rater summarily judges competency by rating persons along a theoretical standard sometimes denoted by a line or series of boxes;

Essay Methods: the rater summarily describes the competence of ratees by identifying those behaviors he has observed from amongst a large domain of behaviors representing competence.³⁸⁰

The essay method was developed to avoid many of the difficulties above, since the appraiser does not have to judge competence nor interpret it along a scale.³⁸¹

³⁷⁷

Bolton, loc. cit., p. 89

³⁷⁸

Bolton, op. cit., p. 68.

³⁷⁹

McCullough, Ibid., p. 183.

³⁸⁰

Ibid.

The check-list method of appraisal requires the appraiser to admit that he has observed specific behavioral incidents in his working interactions with a ratee. The check-list method, however, is not free of error. Such error is best evaluated by considering the three most important types of check-lists: this check-list forces the appraiser to choose between pairs of behavioral incidents, attributing one incident in each pair as more typical of the ratee.³⁸²

CRITICAL INCIDENTS CHECK-LIST - This scale was originally³⁸³ developed to maximize rater objectivity.

SPECIMEN CHECK-LIST - This scale is a modern version of the³⁸⁴ critical incidents check-lists. The appraiser checks those behaviors he has witnessed in his association with a ratee in a³⁸⁵ specified time period. Errors common to the critical incidents³⁸⁶ check-list are virtually eliminated by the specimen check-list. The³⁸⁷ reliability of the specimen check-list has been consistently high.

Moreover, memory loss error appears much less serious than rater errors due to the immediate report appraisal of the critical incident³⁸⁸ method.

In conclusion, the specimen check-list represents a breakthrough in appraisal because its format minimizes rater and scaling errors common in rating, ranking, and essay appraisal methods. The process by which the appraiser "appraises" is the key to understanding valid appraisal. The specimen checklist requires the appraiser to diagnostically report behavioral incidents observed, based upon prompted recall.³⁸⁸

³⁸¹ Ibid., p. 184.

³⁸² Ibid.

³⁸³ Ibid., p. 185.

³⁸⁴ Ibid., p. 186

³⁸⁵ Ibid.

³⁸⁶ Ibid.

³⁸⁷ Ibid.

³⁸⁸ Ibid., p. 187.

The Educational Research Service include the following table which showed techniques used to record assessment data for administrative Evaluation.

TABLE 9. - TECHNIQUES USED TO RECORD ASSESSMENT DATA FOR ADMINISTRATIVE EVALUATION

	All report districts
Item checklist	51.1
Graphic Rating Scale (e.g. continuum of numbers or terms of frequency such as "Never")	32.9
Descriptive statement of performance by evaluator	83.9
Forced choice rating (i.e. evaluator must choose most appropriate statement)	9.9
Critical incident appraisal	25.2
Other	5.7
No techniques specified	1.3
	389
Number Responding	872

Collecting Data For Evaluations

If the administrative role is defined in terms of specific personal attributes or behaviors, evidence must be collected that measures the degree to which these attributes and behaviors are demonstrated.³⁹⁰

One considers the collection of data, there should be an attempt to reach agreement regarding what data will be collected, how it will be collected, who will collect it, and when and where it will be collected.³⁹¹

Evaluative data can be obtained through observations or visitations by supervisors (individual or team), self-evaluation, and surveys of staff, community, or students.³⁹²

³⁸⁸

Ibid., p. 189.

³⁸⁹

Educational Research Service, 1985, Ibid., p. 39.

³⁹⁰

Educational Research Service, 1974, Ibid., p. 10.

³⁹¹

Bolton, op. cit., p. 66.

³⁹²

Educational Research Service, 1974, Ibid.

Information can be collected in one of three ways: observing
393
behavior, asking questions, and examining written documents.

Regardless of whether the measurement planned will be based on direct observation, asking questions of others, or examination of written records, certain problems can occur. Most of these problems are inherent in the capability and training of the person gathering the information.³⁹⁴

A person's prejudices of biases regarding behavior may affect the
395
translation of raw data. A person who reacts positively to a given behavior or fact on one day and negatively on another day is reacting
396
inconsistently. This person must translate raw data into a useable format, and she or he can affect, the translation in ways that cause
397
problems.

Barry Cohen made the following statements about evaluation appraisers.

The appraiser may not judge competence accurately because he is 1) personally prejudiced against some personal attribute of the ratee; 2) untrained or inexperienced in appraisal, and tends to commit such common rater errors as leniency error; 3) unable to translate valid competence estimates to a scale whose limits high-to-low are too narrow or wide, given the actual competencies of those rated, and 4) similarly, unable to translate, because the limits of the scale are not adequately defined, so that it is unclear what scale points represent various judgements of competence. Research has well demonstrated that ranking and rating methods have been subject to these various errors.³⁹⁸

Dale Bolton also made comment cautioning evaluators.

393

Bolton, op. cit., p. 65.

394

Bolton, Ibid., p. 68.

395

Ibid.

396

Ibid.

397

Bolton, op. cit., p. 68.

398

McCullough, op. cit., p. 184.

A clear specification of the role and responsibilities of the people collecting information should do two things. First, it should alleviate any anxiety on the part of the evaluatee as to whether information is being collected secretly. Second, it should fix responsibilities so that there is no ambiguity and so that collection of information is not left to chance. The evaluator has the responsibility to see that these roles and duties are specified; however, the evaluatee should be involved in making these decisions.³⁹⁹

Dale Bolton added a comment on individualization on data collections. If individualization is to occur in the evaluation process, conclusions and summary statements may need to be based on information collected via several different devices.⁴⁰⁰

In the Educational Research Service Report of 1985 they stated; the most common source of information used in evaluating persons in administrative or supervisory positions was the observation of the superintendent.⁴⁰¹ Table eight in the same report gave additional sources.

TABLE 8. - SOURCES USED TO COLLECT DATA FOR THE EVALUATION PROCESS

All reporting districts

Sources of information for evaluation of principals and assistant principals:

Observations of the superintendent	67.7
Observation of immediate supervisor (Other than superintendent)	62.5
Self-evaluation by the evaluatee	51.3
Peer evaluation	4.3
Evaluation by subordinate staff member	11.3
Student achievement records	16.6
Staff performance records	33.7 ⁴⁰²

³⁹⁹

Bolton, Ibid., p. 83.

⁴⁰⁰

Bolton, op. cit., p. 78.

⁴⁰¹

Educational Research Service, 1985, op. cit., p. 37

⁴⁰²

Ibid., p. 38.

Timing of Evaluation

There is research evidence that frequency of performance review is related to many positive managerial attitudes and to higher performance of administrators. This means that the "normal" annual review of performance with no intermediate reviews to supplement it may not accomplish the purposes of the evaluation system.⁴⁰³

Many organizations schedule formal evaluations only once a year - one year after the worker is hired. Unfortunately, this method does not work well. Many of the actions that are evaluated in this way are old and perhaps forgotten.⁴⁰⁴

The employees' performance for the entire time period, for example six months or a year must be considered. It is important not to overemphasize unusual or isolated incidents that are not typical or characteristic of the employees normal performance.⁴⁰⁵

Performance may not be reviewed for six months or possibly even a year - a long time for a man or woman to wonder how they're coming along.⁴⁰⁶

Wayne Bottoni cited one boards' policy which reinforced the concept of timely evaluations: "The superintendent of schools shall provide for frequent and complete supervision of each employee."⁴⁰⁷

Renfor Manning cited a similar board policy.

The following is taken from one school board policy. The superintendent of schools shall provide for frequent and competent supervision of each employee, and such supervision shall be designed to instruct the employee in the duties and responsibilities of his job, to improve the employees adjustment and competence in his position, and otherwise to promote the welfare of the employee and of the schools in general.

⁴⁰³ Bolton, loc. cit., p. 18.

⁴⁰⁴ Arnold, Ibid., p. 186.

⁴⁰⁵ Imundo, Ibid., p. 200.

⁴⁰⁶ McCullough, op. cit., p. 143.

⁴⁰⁷ Bottoni, Ibid., p. 4.

Furthermore, the superintendent of schools shall establish and maintain a suitable procedure for adequate and periodic appraisal of the work of each employee and shall maintain suitable records of such appraisals.⁴⁰⁸

Dale Bolton also included timing of evaluation in his list of general elements of an evaluation system, which follows.

The general elements of an evaluation system are:

1. It is a continuous and cyclical process.
2. It includes examination of input, process, and output.
3. It involves consideration of processes and products of several people.
4. It is a subsystem interrelated with other subsystems in the school organization.
5. It involves self-evaluation plus evaluation by outsiders.
6. It includes the assessment of common objectives and unique objectives.
7. It should be monitored to determine its effectiveness.⁴⁰⁹

Table 5A in the Educational Research Service report indicated the frequency of principals evaluation.

TABLE 5A. - FREQUENCY WITH WHICH DISTRICTS MAKE FORMAL EVALUATIONS OF ADMINISTRATORS AND SUPERVISORS (GENERAL PRACTICE)

	All reporting districts
Principals -	
Twice a year	14.6
Once a year	73.2
Every two years	6.8
Other	5.4 ⁴¹⁰

Evaluation Conference

One reason that evaluation has potential for raising an individual's level of performance is due to feedback and the adjustments that individual can make in response to it.⁴¹¹ Without

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Manning, Ibid., p. 35.

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Bolton, Ibid., p. 37.

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Educational Research Service, 1985, op. cit., p. 32.

⁴¹¹

Bolton, op. cit., p. 33.

85
feedback, there is no guarantee that the message was correctly
412 interpreted and acted upon by the receiver. Performance must be
413 assessed, corrective action taken when necessary, and rewards given
414 to employees whose performance meets or exceeds standards or
expectations.

415
The right attitude on the part of the supervisor is important.
416
The supervisor must be supportive and helpful. Supervisor should
help the employee decide what the problems were when goals were not
417 met, and how these problems can be overcome. The evaluator has the
418 responsibility to see that these roles and duties are specified.
The main objective in the interview should be to improve the employee's
419 performance and motivation. Responsibility is to be for the
employee regardless of whether you like the employee and regardless of
420 the number of mistakes. Making informal evaluations or formal ones,
factual information about the worker's progress should always be

412 Reber, Ibid., p. 142.
413 Imundo, op. cit., p. 185.
414 Ibid.
415 Arnold, loc. cit., p. 186.
416 Ibid.
417 Ibid.
418 Bolton, loc. cit., p. 83.
419 Arnold, Ibid., p. 186.
420 Ibid.

421 86
written down and placed in the personal file. A supervisor should
not be afraid to go on record with his opinion about an employee's
422 performance.

If this communication is to be precise and beneficial to both the
423 evaluatee and evaluator, it should be planned carefully. During
this review of his performance do not attack his personality. Rather
424 you should talk to him about suggested improvements. Realize that
it is the employee's work you are reviewing, not the employee
425 himself. The main purpose is to develop better cooperation between
426 you and the employee.

John E. Lewis stated:

As a manager, you must be concerned about each employee as an
individual. You must help each individual employee to realize that
you are conducting this appraisal interview as much for his benefit
as for the benefit of the company. 427

John Campbell et al. warned against using the conference time for
purpose of making far-ranging inferences and suggest a strategy of
keeping things simple while staying close to the data available. 428

N. Carroll and H. L. Tose offer the following general guidelines
for conducting a conference to review performance:

1. Be prepared for the meeting.
2. State the purpose of the interview and put the subordinate at ease.

421

Ibid., p. 188.

422

Imundo, Ibid., p. 201.

423

Bolton, Ibid., p. 91.

424

McCullough, Ibid., p. 180.

425

Ibid.

426

Ibid.

427

McCullough, op. cit., p. 179.

428

Bolton, Ibid., p. 93.

3. Facilitate discussion of the subject (listen actively, use reflective summary, reward insight and self-criticism).
4. List disagreements (resolve when possible - if not, list and seek facts).
5. Close the review with a summary and a plan.⁴²⁹

H. H. Meyer, Emanuel Kay, and J. R. P. French (1961, 1965) came to four conclusions about the evaluation conference, based on research in business and industry;

1. Criticism has a negative effect on the achievement of goals because it builds defensiveness.
2. Praise has little effect on the achievement of goals.
3. Mutual goal-setting improves performance.
4. Coaching should be day-to-day, not a once-a-year activity.⁴³⁰

Motivation

Unfortunately some school districts often conduct separate programs to motivate and to evaluate principals.⁴³¹ Wayne Bottoni also believed, motivation is frequently ignored when the performance of principal is considered.⁴³² However, if the evaluation system is primarily a feedback mechanism,⁴³³ then it would not necessarily be designed for the purpose of reward or award.⁴³⁴ Indeed, motivation⁴³⁵ would have to come from another source if this were the case.

Typically, the professed goal of the school board policy in these areas is to improve the principals' job performance; however, if evaluation is conducted without a plan for motivation, the result could be little more than institutional harrassment.⁴³⁶

⁴²⁹

Ibid., p. 94.

⁴³⁰

Ibid., p. 96

⁴³¹

Bottoni op. cit., p. 1.

⁴³²

Ibid.

⁴³³

Bolton, op. cit., p. 48.

⁴³⁴

Ibid.

⁴³⁵

Ibid.

⁴³⁶

Manning, op. cit., p. 33.

The only thing a supervisor can do to achieve genuine cooperation from his subordinates is to create an atmosphere in which each individual will want to move in the direction of achieving the organization's goals while at the same time achieving his own personal goals; in other words, the supervisor can provide a motivating environment.⁴³⁷

There are still some supervisors who believe that the only motivation needed to get a job done is a direct order: "Do it - or ELSE!" Such supervisors who think their authority is motivation enough will answer in any discussion about motivation, "I'm too busy to go around coddling my people, I give them an order and the job gets done; but if they goof off, they'll hear from me soon enough." This reaction is common, sometimes even understandable, but it also reflects a basic misconception about how people are motivated.⁴³⁸

Some organizations have comprehensive performance standards, well defined appraisals or assessment programs, and train managers at all levels to insure that performance is properly assessed and regards are given for merit. Most organizations do not, and this causes considerable problems for supervisors and employees alike.⁴³⁹

The supervisor cannot force the employee to accept the goals for the organization or to seek fulfillment of all but needs on the job. But the supervisor can create an environment, or an atmosphere, where the employee is encouraged and able to seek such satisfaction for himself.⁴⁴⁰

When you get right down to it, people must motivate themselves. Motivation should be viewed as coming from within the individual (internalized) rather than from his supervisor. As motivation expert Frederick Herzberg has said, "we can charge a man's battery, and then recharge it, and recharge it again. But it's only when he has his own generator that we can talk about motivation. He then needs no outside stimulation. He wants to do it!"⁴⁴¹

According to its proponents, incentive pay enables school districts to compensate their employees according to their performance

437

Reber, op. cit., p. 46.

438

Ibid.

439

Imundo, op. cit., pp. 185-186.

440

Reber, Ibid., p. 46.

441

Ibid.

effectiveness, thus providing more motivation for improvement.⁴⁴²

Perhaps, to a greater extent than to any other motivator, principals respond to recognition.⁴⁴³ According to Renfro Manning, in most cases, if incentive pay produces results, it is not because of the money involved, but because incentive pay serves as a vehicle through which recognition is granted.⁴⁴⁴

The Educational Research Service offered the following statement on incentive pay:

Characteristics of Successful Incentive Pay Plans

Certain conditions in a school district seem to increase the likelihood of successfully adopting a merit pay system for administrators. Kienapfel identifies five conditions or components that should be in place;

Component 1 - A sound, district-wide decision-making process that encourages broad-based input from the whole staff;

Component 2 - A salary schedule that accurately places administrative positions in a justifiable relationship to each other and reflects in financial terms the requirements and responsibilities of each administrative position.

Component 3 - An assessment process that accurately defines the characteristics and activities of an excellent administrator and accurately discriminates between a superior and a below-average administrator.

Component 4 - A conversion formula that financially regards excellent administrative performance by converting assessment scores into salary increases.

Component 5 - A review process designed to improve the assessment, salary, and merit system on a frequent basis.⁴⁴⁵

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Educational Research Service, 1985, op. cit., p. 17.

⁴⁴³

Manning, Ibid., p. 34.

⁴⁴⁴

Ibid.

⁴⁴⁵

Educational Research Service, 1985, Ibid., p. 17-18.

CHAPTER III

DESIGN OF THE STUDY

The design of study was to determine if a significant number of boards of education did evaluate high school principals. If they did evaluate, was informal or formal evaluation used? What were the sources of information used to evaluate the high school principal? Included in this section were detailed descriptions of the population, panel of experts, instrumentation, collection of data, statistical treatment of the data.

Population

The State of Wisconsin was located in the northern central part of the continental United States of America.¹ Wisconsin covers 56,154 square miles ... and ... stretches 300 miles north and south, and it's greatest width is 280 miles.² The state was mainly bordered by water. The northern portion was bordered by Lake Superior, Montreal River, Michigan Border and the Menominee River. The eastern boundary was Lake Michigan from the Menominee River to north latitude of 42°-30'. The

¹ Wisconsin Department of Transportation, STATE HIGHWAY MAP - 1984-Wisconsin 1985, (Madison: Wisconsin Department of Transportation, 1984), p. 1.

² Nesbit, Robert C., WISCONSIN A HISTORY. (Madison: The University of Wisconsin Press, 1973), p. 5.

southern boundary was the north latitude of 42°-30' from Lake Michigan to the Mississippi River. The western boundary was the Mississippi River, St. Croix River, and Minnesota.³

Wisconsin topography has...five geographic provinces...(1) a narrow shelf of low levels...(2) the gently rolling northern hills...(3) the central plains...(4) the western uplands...(5) the eastern ridges and low lands...⁴ The state has some 9,000 lakes and 33,000 miles of river and stream frontage. The largest river system within the state is that of the Wisconsin, one of several rivers which drain into the Mississippi.⁵

Wisconsin was subject to what was known as a continental forest climate. ...There is considerable variation in the climate from south to north. ...Winter was the dominant season in the north, where the summers are relatively short and cool and hence the growing season short. On the average, southern Wisconsin has a snow cover 85 days of the year, while along the Lake Superior shore this stretches to 140 days a year. The mean annual temperature of Wisconsin at 43 degrees Fahrenheit...but the extreme range is from about 110 degrees above to 50 degrees below zero...summer weather is unusually humid for a continental climate. The range of annual precipitation across the state is fairly narrow: from 28 to 44 inches, with 36 inches the average...Wisconsin's snow is held by the cold winters for the growing season and forms a blanket for vegetation, while the heavier rainfall holds off until late spring, after the snow water has run off, thus minimizing flooding and maintaining stream flow throughout the year.⁷

³ Wisconsin Department of Transportation, loc. cit. p. 1.

⁴ Nesbit, op. cit. p. 6.

⁵ Ibid., p. 8.

⁶ Ibid., p. 6.

⁷ Ibid., p. 7.

Within the boundaries of the State of Wisconsin there were 432⁸ districts, which operate one or more high schools. For the purpose of this study districts that had a student population of 700 or less in grades K-12 were included. Districts were also limited to high school districts which had employed a high school principal responsible for students in grade combination starting at 7 through 10th grade up to 12. Examples would have been 7-12, 9-12, or 10-12. It was determined from records obtained from the Department of Public Instruction of Wisconsin that eighty-one school districts meet the criteria.

The population surveyed was school board presidents that headed board of education that meet the above criteria for school districts. Name and address of school board presidents were obtained from the Department of Public Instruction of Wisconsin Data Banks.

Instrumentation

The instrument that was designed for this study was based on the author's question stated in the purpose of the study and the review of literature. (See Appendix A.)⁹

The survey form was designed to be answered by the presidents of the boards of education that were surveyed. This was done to insure that districts surveyed were only contacted one time. It was also felt by the writer that the board president would be the board member

⁸ Wisconsin Department of Public Instruction, "Wisconsin Districts Operating High Schools," Wisconsin Department of Public Instruction Bulletin No. 5030 (1984).

⁹ See Appendix A

most knowledgeable of what had been used to evaluate the high school principal. To insure that the board presidents were contacted, the Wisconsin Department of Public Instruction mailing lists were used.

Questions one and two were based on the writer's original question, but were reworded based on the review of literature.

Question three had been informal evaluation criteria developed from the review of literature. Each source of data listed had been selected from all areas of the review, but were based on their past use or perceived use by evaluators of high school principals.

Question four had been developed to thank board presidents that had completed the survey, and to give them an opportunity to receive the results of the survey.

Panel of Experts

This survey was sent to a panel of experts for review. The panel consisted of Dr. George Tipler, The Executive Director of the Wisconsin School Board Association, Mr. Ollie Berge, the Executive Director of Wisconsin Association of School District Administrators and Mr. Charles Hilston, Executive Director of the Association of Wisconsin School Administrators.

The survey was then sent to school board presidents in school districts which met the criteria.

Collection of the Data

To help insure in the collection of the data the following procedure had been used. Addresses had been obtained from the Wisconsin Department of Public Instruction. Envelopes were then addressed and sent first class with the enclosed materials, letter of

transmittal,¹⁰ the survey instrument,¹¹ and self addressed stamped envelope.⁹⁴ Packets were sent May 15, 1986. Instructions for returning the survey were included on question four on the survey. Less than seventy percent of the surveys were returned.

To assist in recording the districts that had returned surveys a code number was placed on the inside of the return envelope in the first and second mailing. This was done by assigning a numerical number to each district listed in alphabetical order. The number was then used to determine who had not returned the survey, to record who wished copies of the results, and to aid in double checking data.

A second mailing followed on June 5, 1986, to increase the number of surveys returned. The procedure included the same code number with the addition of a letter code to help insure that duplication of district did not occur. A second letter of transmittal was sent with the survey form.¹² (See Appendix B) All contents of the second mailing were the same except for the letter of transmittal. The second mailing increasing the return from forty-eight percent to 77.7 percent.

Tables were developed to record data from the survey. (See Appendix C).¹³ Only the surveys that had been returned by June 17, 1986, were used to provide data for the study.

¹⁰ See Appendix B

¹¹ See Appendix A

¹² See Appendix B

¹³ See Appendix C

Statistical Treatment

Two statistical methods were used to test the hypothesis. The first method was the Chi Square Method, which compares observed and expected frequencies to determine whether the observed frequencies differ significantly from the expected frequencies. The expected frequencies were those specified by the hypothesis.

$$\chi^2_{\text{obs}} = \sum_{j=1}^r \sum_{k=1}^c \frac{(O_{jk} - E_{jk})^2}{E_{jk}}$$

If the Chi Square value was significant, the hypothesis was rejected. If the Chi Square value was not significant, the hypothesis was accepted.

For hypothesis 1-6 and 8, Chi Square was used as the statistical test. For each of these hypotheses, there was one degree of freedom, and the 5% critical value of Chi Square was 3.84¹⁵ or a probability of less than 0.05 for Chi square.¹⁶ (See Appendix D).

The second method was student's t test. This test compared the two, groups of boards, those formally and those informally evaluating the high school principal. The numerical value used for each board was the number of sources used. These numerical values were compared statistically to determine whether they differed significantly or not.

If the t test was not significant, that meant that the hypothesis was accepted.

¹⁴ Robert B. McCall, FUNDAMENTAL STATISTICS FOR BEHAVIORAL SCIENCES, FOURTH EDITION (Chicago: Harcourt Brace Jovanovich, Publisher, 1986), p. 321.

¹⁵ Ibid., p. 395.

¹⁶ See Appendix D

If the t test was significant, that meant that the hypothesis was rejected.

$$t = \frac{\bar{X}_1 - \bar{X}_2}{S_{\bar{X}_1 - \bar{X}_2}}$$

The t test was used to test hypothesis seven. For 34 degrees of freedom, the 5% critical value of t was 1.684.^{18, 19}

Calculation of the formula were completed by two methods. Hypotheses one through six were calculated by having used the Chi square formula stated above. Hypotheses seven and eight were entered into BMDP Statistical Software program,²⁰ by the senior computer operator at the University of Wisconsin - Superior. Using an IBM XT micro computer. Printouts were generated of the data. The data was then transferred to the tables.²¹ (See Appendix F)

¹⁷ McCall, op. cit., p. 229.

¹⁸ Ibid., p. 386.

¹⁹ See Appendix E

²⁰ W. J. Dixon, M. B. Brown, L. Engelman, J. W. France, M. A. Hill, R. I. Vennrich, and V. O. Toporek, BMDP STATISTICAL SOFTWARE (Berkeley: University of California Press, 1985).

²¹ See Appendix F

CHAPTER IV

ANALYSIS OF THE DATA

In analyzing the data this chapter will address each of the eight hypotheses and summary tying the hypotheses to the original three questions to be answered.

Response

The return rate of the survey instrument was good. The first mailing of 81 surveys and letters of transmittal yielded a return of 39 or 48 percent return. A second mailing of 42 surveys resulted in 24 returned. Both mailings yielded 63 surveys or 77.7 percent of the total population. A return of 70 percent was originally stated as an adequate percentage of return for the study.

Interpretation of the Hypotheses

After the data was entered into the tables, a determination was made to reject or accept the hypotheses. Hypotheses one, two, and three were mutually exclusive. If one is accepted, the other two are automatically rejected. Hypothesis number three had a Chi square of 0.3961, which was less than the critical value of 3.84, with one degree of freedom required for significance at the .05 level of significance. Hypothesis three therefore was accepted, and hypotheses one and two were rejected (See Appendix F).¹ The conclusion was made that the

¹ See Appendix F

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evaluation of the high school principal by boards of education, in school districts of less than 700 students, occurs randomly as would be expected by chance alone.

Hypotheses four, five, and six were also mutually exclusive and were subject to the same statistical treatment as hypotheses one, two, and three. Hypothesis number six had a Chi square value of 0.3589. It was accepted on the same basis as hypothesis number three, thus² rejecting hypotheses four and five (See Appendix F). The conclusion was therefore that those boards which evaluate the high school principal do so formally or informally randomly or by chance alone.

Hypothesis number seven stated that boards of education which formally evaluated the high school principal used the same number of sources as boards of education which formally evaluated the high school principal.³ The value of $t = 0.62$ (See Appendix F) was less than the critical value of $t = 1.684$ with 34 degrees of freedom required for significance at the .05 level. The value of t being less than 1.684, the hypothesis was accepted. It was determined that boards of education used the same number of sources of information as stated on the survey form whether they formally or informally evaluated the high school principal.

Hypothesis number eight was tested for each item on the survey form. The test was to determine, for each item (A - AK), whether its importance was the same for boards of education formally evaluating the high school principal as for boards of education informally evaluating the principal. A Chi square test was conducted for each item. The

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See Appendix F

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See Appendix F

values in Appendix G indicate that hypothesis eight was accepted for each item, which means that the relative importance of each item was the same in boards formally evaluating as for those informally evaluating the high school principal. (See Appendix F)⁴

Interpretations

From a statistical point of view, the following interpretations may be made. First, boards of education do not always follow a bureaucratic model. This was demonstrated by acceptance of hypothesis number three, which showed that evaluation of the high school principal by boards of education is on a random basis. Support of the bureaucratic model would be shown by acceptance of hypothesis two. However, hypothesis two was rejected, and the answer to the original question, "Did a significant number of boards of education evaluate the high school principal?", was yes. In other words, statistically 50 percent of the boards did evaluate the principal. Secondly, if boards of education do in fact evaluate the high school principal, the method may be formal or informal. Hypothesis number six stated that formal or informal evaluation was due to chance. This answered question number two, "If 'yes' to question number one was the evaluation formal or informal." This means that the evaluation could be either formal or informal, again on a fifty-fifty basis. Third, statistically there was no difference in the number of criteria or sources of information used by boards of education when those formally evaluating the high school principal were compared with those doing the evaluation informally. All criteria or sources of information given on this survey form were

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See Appendix F

checked at least once, indicating that each criterion or source of information had been used by a board of education when evaluating the high school principal. This seemed to answer question number three, "Which of the following sources of information and/or criteria were used in evaluation of the high school principal?".

A Look At The Level of Significance

Reviewing the data for testing hypothesis number eight, it was noted that statistically items or sources were used equally frequently by boards of education regardless of their method of evaluation (formal or informal). However, there were three sources of information and criteria that were very close to being significant: 3A, 3F, and 3AF.

3A. The number of positive or negative comments received from parents or community members.

This was used by boards informally evaluating the principal.

3F. Superintendent's formal or informal evaluation of principal.

This also was used more by boards informally evaluating the principal.

3AF. Ability to work face to face with people.

Again, this was used more by boards informally evaluating the principal.

If the probability was 0.05 or less, the findings would have been considered significant. Each question was very close to that level (3A, $p = 0.0699$; 3F, $p = 0.0699$; 3AF, $p = 0.0877$). It may be that if the survey had been distributed to a larger sample, the boards of education evaluating the principal formally or informally might have differed significantly on these three criteria or sources of information.

Development of Table A

In an attempt to understand the data, Table A was developed from the data in Appendix C. The table was developed by adding both column (a) and (b & c) together to get the total responses for each item. Therefore, Table A gives the pooled "yes" responses for all boards evaluating the high school principal, regardless of the number of evaluations (formal or informal). This is acceptable because hypothesis number eight was accepted throughout. The first column gives the total number of boards checking the item, and the second column gives that number as a percentage of the total number of surveys returned. The third column is a number assigned to the item on the table. The number is not intended to be used as a rank of the item. The fourth column was the item according to the percentage in column two. If the percentage was equal, the alphabetical letter was used for clarity. (See Appendix G)⁵ This table should be interpreted as indicating the percentage of boards using each item, but not the value or importance placed on an item by the boards. (See Appendix G)⁶ Table A is not a test of any hypothesis but may be used in interpreting the data.

Summary

In analyzing the data several determinations were made. First, some boards of education do not follow the bureaucratic model of school organization: concerning the evaluation of the high school principal. Secondly, the boards that do evaluate the high school principal may use formal or informal evaluation. Thirdly, there is no significant

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See Appendix G

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See Appendix G

difference between the boards of education and the evaluation of the high school principal formally or informally in the number of items used to evaluate the high school principal. Fourthly, that there is no significant difference between the boards using formal or informal evaluating in the data used to evaluate the high school principal. It may be that the size of the sample could have affected the conclusion for hypothesis number eight. If the population would have been greater, items 3A, 3F, and 3AF may have shown a significant difference between boards of education evaluating the high school principal formally or informally.

The data indicated to the writer a need to develop Table A for the purpose of better understanding.

CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATION

Summary

The evaluation of the high school principal by the board of education is an area where very little research has been done. During the review of literature, the writer found very little information on this phenomenon. There is a great deal of information on the principal role, effective principal, and other groups or people evaluating the high school principal, however, none on the direct evaluation by the boards of education. This may have been due to the model under which literature states schools function under. The literature perceives that schools function under a bureaucratic model which includes a chain of command. Therefore the phenomenon of high school principal being evaluated by the board of education is not a normal event in the bureaucratic model. For this reason the writer felt it was an area that needed to be researched.

It is now known that many boards of education do evaluate the high school principal; whether or not the high school principal is evaluated by the board of education is a "fifty-fifty" matter.

Conclusion

In analyzing the data, it was found that high school principals responsible for grades 7-12, 8-12, 9-12, or 10-12 in districts of 700 students or less in the State of Wisconsin had a "fifty-fifty" chance

of being evaluated by the board of education. Therefore there was approximately a fifty percent chance in a given school district that the high school principal would be evaluated by the board of education. Secondly, if the high school principal was evaluated by the board of education, there was a "fifty-fifty" chance that the evaluation would be either formal or informal. Thirdly, whether the evaluation was done formally or informally by the board, there was no significant difference in the number of criteria or sources of information used to evaluate the high school principal.

Speculation

Table A¹ was not part of the original study and should be considered pure speculation. This table in part was designed to give some insight into criteria or sources of information that might be used by the board of education in evaluating the high school principal. Secondly, the table also enables the researcher to see if further study of questions 3A, 3F, and 3AF is warranted.

There were two areas not part of the original study that warrant some consideration. First was the level of significance on questions 3A, 3F, and 3AF. Second was the relative frequency with which all questions, 3A - 3AF, on the survey form were actively checked (Table A).

Questions 3A, 3F, and 3AF did not differ significantly but were very close to significance.

¹ See Appendix G

Question 3A states, "The number of positive or negative comments received from parents of community members." Seven out of fifteen boards formally evaluating the high school principal checked 3A, and fifteen out of twenty boards informally evaluating checked 3A, according to Table to Record Survey Data.² This finding should concern the board and high school principal. According to the review of literature: parents and community members make comments that are not always based on fact but more on how they perceive the high school principal. The question should be asked, "Is this a difference between the two groups?"

Question 3F states, "Superintendents formal or informal evaluation of principal." Ten out of fifteen boards formally evaluating checked question 3F and twenty out of twenty boards informally evaluating checked 3F. This should be encouraging that the board seems to use the superintendent's evaluation assuming that the superintendent's evaluation would have been based on sound criteria and sources of information. However, this does raise a question: If boards use the superintendent's evaluation, why do they evaluate the principal? Also, what is the difference if any between the two groups?

Question 3AF stated, "Ability to work face to face with people." Ten out of fifteen boards formally evaluating checked question 3AF and eighteen out of twenty boards formally evaluating checked the question.³ How do boards use this criterion? How much importance is placed on working face to face with people? What is the difference if

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See Appendix C

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See Appendix C

any between the two groups? There may be no difference between the two groups. However, if there is, a determination should be made whether it has a positive or negative effect on school operation.

Table A is questionable on the information it contains, but may be used to estimate the probability that a criterion may be used to evaluate the high school principal by the board in a given school district. The following are six of the criteria or sources of information that were checked by eighty percent or more of the school board presidents as being used by their board of education in evaluating the high school principal.

<u>Number check</u>	<u>Per- cent</u>	<u>Item</u>
34	97.1	A. Ability to manage student discipline within the school.
32	97.1	AH. Ability to solve problems and manage conflict.
30	87.7	AK. Ability to improve teacher performance.
30	87.7	M. Respect or trust board has for principal.
30	87.7	F. Superintendent's formal or informal evaluation of principal.
28	80.0	AF. Ability to work face to face with people.

The speculation would be that the board of education would place great emphasis on these six areas rather than others, when evaluating the high school principal.

⁴ See Appendix G

In Table A a second group of questions were checked 77.1 percent to 71.4 percent of the time.

<u>Number Check</u>	<u>Per cent</u>	<u>Item</u>
27	77.1	P. Long range plans for curriculum changes.
26	74.3	R. Ability to improve curriculum.
26	74.3	O. Knowledge of current educational improvements.
26	74.3	AG. Ability to promote cooperation among employees.
25	71.4	W. Ability to manage school facilities.
25	71.4	V. Ability to improve and/or maintain school social climate. ⁵

This sub-group of questions contain more items that dealt with the high school principal's ability to improve curriculum compared to the first sub-group that dealt mainly with the high school principal's management of the school. This may indicate management is more important to the board of education, than the curricular program.

The five questions on Table A that receive the fewest number of checks were:

<u>Number Check</u>	<u>Per- cent</u>	<u>Item</u>
10	28.6	AB. Number of conflicts with support staff.
9	25.7	T. Student's ability to compete in academic competition.
7	20.0	K. Family life.
6	17.1	Q. Student test scores on national and state tests.
2	5.7	U. Student's ability to compete in athletic competition. ⁶

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See Appendix G

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See Appendix G

This sub-group was picked because of a natural break in percentage⁷ between 34.3 percent and 28.6 percent. In this sub-group, items were not what would have been expected from the review of literature. The item stating students' test scores on national and state levels, was only used by six out of thirty-five boards. This item according to the literature would be a concrete measure, and somewhat reliable in measuring student performance. The students' ability to compete in academic competition was a second measure that would seem to the writer to be used by the board more often than was stated.

The items that were checked 68.6 percent to 34.3 percent of the time, as indicated by Table A could be subject to speculation. But would have been stretching the possible conclusion that may have derived from them. No speculation will be made other than these criteria and sources of information have been used in evaluation of high school principal by the board of education.

Recommendation and Summary

Recommendations were made to promote future studies in this area, and to make suggestions on how to improve school operation.

This study indicated the need to know more about the phenomenon of evaluation of high school principal and the high school principals relationship with the board of education. First a determination should be made if there are more criteria or sources of information used other than the items listed on the survey. Second, a determination should be made to determine the value boards place on each criteria or sources of information. Having the board members rank the items or using a Likert

⁷ See Appendix G

Scale may be useful to evaluate the real importance of an item to the actual importance. This may have the potential to improve evaluation process, and improve instructional programs.

The second recommendation is to improve boards of education's knowledge of the evaluation process. The literature indicated the board should not be evaluating the high school principal to help promote sound school operation. This study proves boards do evaluate on a random basis. Boards should analyze, why they are evaluating the high school principal. The question boards should ask: "Are boards' improving the educational process by evaluating the high school principal?", and if so, "How?"

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APPENDICES

APPENDIX A
SURVEY FORM INSTRUMENT

SURVEY FORM

Please answer the following questions based on past practices of the Board of Education. This is very critical to the outcome of the survey.

1. Has the Board of Education ever evaluated the high school principal as part of the regular business or unexpectedly at a regular or special board meeting?

Circle yes or no. YES NO

If your answer was NO please go to question #4.

2. When your Board of Education evaluated the high school principal, which one of the following statements best describe the Board's action. Please check only ONE.

- _____ a. Your board informed the high school principal that he/she had been formally evaluated by some written communication. Examples would be a check list or written narrative of some type.
- _____ b. Your board informed the high school principal that he/she had been evaluated by oral communication, but no written information was given to the high school principal.
- _____ c. Your board never informed the principal that he/she has been evaluated.

3. This section of the survey includes a list of many items that could have been used to evaluate the high school principal. Please place a check in front of items that your Board has USED.

Sources of Data Used for Evaluation

- _____ A. The number of positive or negative comments received from parents or community members.
- _____ B. The number of positive or negative comments received from students.
- _____ C. The number of positive or negative comments received from teachers.
- _____ D. The number of positive or negative comments received from support staff (secretaries, janitors, cooks, bus drivers, aides).
- _____ E. The number of hours the principal was willing to work.
- _____ F. Superintendent's formal or informal evaluation of principal.
- _____ G. The number of conflicts the principal creates.
- _____ H. Personality.
- _____ I. Groomed appearance.
- _____ J. Moral character.
- _____ K. Family life.
- _____ L. Community and civic involvement.
- _____ M. Respect or trust Board has for principal.
- _____ N. Knowledge of methods of teaching.
- _____ O. Knowledge of current educational improvements.
- _____ P. Long range plans for curriculum changes.
- _____ Q. Student test scores on national and state tests.
- _____ R. Ability to improve curriculum.
- _____ S. Ability to recognize problems with the instructional program.
- _____ T. Students' ability to compete in academic competition.
- _____ U. Students' ability to compete in athletic competition.
- _____ V. Ability to improve and/or maintain school social climate.

- _____ W. Ability to manage school facilities.
- _____ X. Ability to manage student discipline within the school.
- _____ Y. Number of conflicts with parents.
- _____ Z. Number of conflicts with students.
- _____ AA. Number of conflicts with teachers.
- _____ AB. Number of conflicts with support staff.
- _____ AC. Number of conflicts with superintendent.
- _____ AD. Number of conflicts with Board of Education.
- _____ AE. Ability to work with groups.
- _____ AF. Ability to work face to face with people.
- _____ AG. Ability to promote cooperation among employees.
- _____ AH. Ability to solve problems and manage conflict.
- _____ AI. Ability to predict outcome of change or conflict situations.
- _____ AJ. Ability to delegate duties.
- _____ AK. Ability to improve teacher performance.

4. Thank you for your help in completing this study.

If you would like a copy of the results of this study, please give your name and address below.

Please place the survey in the enclosed envelope and return.

Thank you again!

APPENDIX B
LETTERS OF TRANSMITTAL

May 7, 1986

Dear Mr. President:

In conjunction with the University of Wisconsin-Superior, I am collecting data on the evaluation of high school principals. The purpose of this study is to determine if boards of education do evaluate high school principals and if so what did boards use to evaluate them. From the study it is hoped that conclusions can be drawn to improve school district operation.

The enclosed survey has been reviewed by Mr. George Tipler, the Executive Director of the Wisconsin School Board Association, Mr. Ollie Berge, the Executive Director of the Wisconsin Association of School District Administrators, and Mr. Charles Hilston, Executive Director of the Association of Wisconsin School Administrators.

Please be assured that information on individual schools will be kept confidential. The composite of all the districts will be used, not individual schools.

Thank you for your time in completing the enclosed survey.

Sincerely,

J. Gary Lilyquist, Superintendent
School District of Shell Lake
Shell Lake, Wisconsin 54871

May 30, 1986

Dear Mr. President:

Recently your help was requested for a study being done in conjunction with the University of Wisconsin - Superior. At this time your survey has not been received. Your input is very important to the outcome of this study. A few minutes out of your busy schedule will be greatly appreciated to fill out and return the enclosed survey, if you have not already done so.

Thank you.

Sincerely,

J. Gary Lilyquist, Superintendent
School District of Shell Lake
Shell Lake, Wisconsin 54871

APPENDIX C
TABLES TO RECORD SURVEY DATA

TABLE TO RECORD SURVEY DATA
SURVEY FORM

Please answer the following questions based on past practices of the Board of Education. This is very critical to the outcome of the survey.

1. Has the Board of Education ever evaluated the high school principal as part of the regular business or unexpectedly at a regular or special board meeting?

YES						NO					TOTAL
Code Numbers of Schools Responding YES						Code Numbers of Schools Responding NO					
<u>11</u>	<u>25</u>	<u>41</u>	<u>58</u>	<u>72</u>	<u>93</u>	<u>13</u>	<u>31</u>	<u>49</u>	<u>71</u>	<u>88</u>	
<u>12</u>	<u>26</u>	<u>42</u>	<u>61</u>	<u>73</u>	<u>96</u>	<u>14</u>	<u>33</u>	<u>52</u>	<u>77</u>	<u>89</u>	
<u>18</u>	<u>30</u>	<u>50</u>	<u>63</u>	<u>85</u>	<u>98</u>	<u>15</u>	<u>34</u>	<u>57</u>	<u>78</u>	<u>91</u>	
<u>19</u>	<u>33</u>	<u>51</u>	<u>64</u>	<u>86</u>	<u>99</u>	<u>17</u>	<u>36</u>	<u>65</u>	<u>79</u>	<u>94</u>	
<u>21</u>	<u>37</u>	<u>53</u>	<u>68</u>	<u>90</u>	<u>101</u>	<u>20</u>	<u>44</u>	<u>66</u>	<u>81</u>	<u> </u>	
<u>23</u>	<u>39</u>	<u>55</u>	<u>70</u>	<u>92</u>	<u> </u>	<u>22</u>	<u>47</u>	<u>67</u>	<u>82</u>	<u> </u>	
Sub total					<u>35</u>	Sub total					<u>28</u>

TOTAL: 63 out of 81, 77.7 percent return

2. When your Board of Education evaluated the high school principal, which one of the following statements best describe the Board's action. Please check only ONE.

- a. Your Board informed the high school principal that he/she had been formally evaluated by some written communication. Examples would be a check list or written narrative of some type.
- b. Your board informed the high school principal that he/she had been evaluated by oral communication, but no written information was given to the high school principal.
- c. Your board never informed him/her that they had been evaluated.

35 TOTAL

Code Numbers of
Schools Responding A

Code Numbers of
Schools Responding B

Code Numbers of
Schools Responding C

<u>12</u>	<u>42</u>	<u>64</u>	<u>90</u>
<u>19</u>	<u>50</u>	<u>68</u>	<u>92</u>
<u>37</u>	<u>51</u>	<u>70</u>	<u>96</u>
<u>41</u>	<u>53</u>	<u>72</u>	<u> </u>

<u>11</u>	<u>26</u>	<u>55</u>	<u>73</u>	<u>98</u>
<u>18</u>	<u>30</u>	<u>58</u>	<u>85</u>	<u>99</u>
<u>23</u>	<u>33</u>	<u>61</u>	<u>86</u>	<u> </u>
<u>25</u>	<u>39</u>	<u>63</u>	<u>93</u>	<u> </u>

<u>21</u>	<u> </u>
<u>101</u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>

Sub total 15

Sub total 18

Sub total 2

Total 20

3. This section of the survey includes a list of many items that could have been used to evaluate the high school principal. Please place a check in front of items that your Board has USED.

The first column was used for all schools responding (a) in question #2. The second column was used for all schools responding (b or c) in question #2.

		Sources of Data Used for Evaluation
(a)	(b or c)	
<u>7</u>	<u>15</u>	A. The number of positive or negative comments received from parents or community members.
<u>4</u>	<u>9</u>	B. The number of positive or negative comments received from students.
<u>8</u>	<u>13</u>	C. The number of positive or negative comments received from teachers.
<u>6</u>	<u>6</u>	D. The number of positive or negative comments received from support staff (secretaries, janitors, cooks, bus drivers, aides).
<u>9</u>	<u>13</u>	E. The number of hours the principal's willing to work.
<u>10</u>	<u>20</u>	F. Superintendent's formal or informal evaluation of principal.
<u>5</u>	<u>8</u>	G. The number of conflicts the principal creates.
<u>11</u>	<u>13</u>	H. Personality.
<u>7</u>	<u>12</u>	I. Groomed appearance.
<u>8</u>	<u>12</u>	J. Moral character.
<u>3</u>	<u>4</u>	K. Family life.
<u>7</u>	<u>9</u>	L. Community and civic involvement.
<u>12</u>	<u>18</u>	M. Respect or trust Board has for principal.
<u>8</u>	<u>12</u>	N. Knowledge of methods of teaching.
<u>12</u>	<u>15</u>	O. Knowledge of current educational improvements.
<u>12</u>	<u>15</u>	P. Long range plans for curriculum changes.
<u>3</u>	<u>3</u>	Q. Student test scores on national and state tests.
<u>11</u>	<u>15</u>	R. Ability to improve curriculum.
<u>12</u>	<u>16</u>	S. Ability to recognize problems with the instructional program.

(a)	(b or c)	
<u>3</u>	<u>6</u>	T. Students' ability to compete in academic competition.
<u>1</u>	<u>1</u>	U. Students' ability to compete in athletic competition.
<u>11</u>	<u>14</u>	V. Ability to improve and/or maintain school social climate.
<u>11</u>	<u>14</u>	W. Ability to manage school facilities.
<u>14</u>	<u>20</u>	X. Ability to manage student discipline within the school.
<u>6</u>	<u>8</u>	Y. Number of conflicts with parents.
<u>6</u>	<u>7</u>	Z. Number of conflicts with students.
<u>7</u>	<u>7</u>	AA. Number of conflicts with teachers.
<u>5</u>	<u>5</u>	AB. Number of conflicts with support staff.
<u>7</u>	<u>10</u>	AC. Number of conflicts with superintendent.
<u>4</u>	<u>10</u>	AD. Number of conflicts with Board of Education.
<u>9</u>	<u>14</u>	AE. Ability to work with groups.
<u>10</u>	<u>18</u>	AF. Ability to work face to face with people.
<u>10</u>	<u>16</u>	AG. Ability to promote cooperation among employees.
<u>13</u>	<u>19</u>	AH. Ability to solve problems and manage conflict.
<u>5</u>	<u>8</u>	AI. Ability to predict outcome of change or conflict situations.
<u>11</u>	<u>11</u>	AJ. Ability to delegate duties.
<u>13</u>	<u>17</u>	AK. Ability to improve teacher performance.

Code Number for districts
answering (a) in Question #2.

Total Number of Responses
to Question #3.

<u>12</u>	<u>29</u>
<u>19</u>	<u>7</u>
<u>37</u>	<u>23</u>
<u>41</u>	<u>17</u>
<u>42</u>	<u>19</u>
<u>50</u>	<u>21</u>
<u>51</u>	<u>27</u>
<u>53</u>	<u>21</u>
<u>64</u>	<u>24</u>
<u>68</u>	<u>28</u>
<u>70</u>	<u>16</u>
<u>72</u>	<u>1</u>
<u>90</u>	<u>24</u>
<u>92</u>	<u>15</u>
<u>96</u>	<u>30</u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>

Code number for districts
answering (b, c) in Question #2.

Total number of responses
to Question #3.

<u>11</u>	<u>19</u>
<u>18</u>	<u>22</u>
<u>21</u>	<u>11</u>
<u>23</u>	<u>26</u>
<u>25</u>	<u>15</u>
<u>26</u>	<u>33</u>
<u>30</u>	<u>15</u>
<u>33</u>	<u>32</u>
<u>39</u>	<u>9</u>
<u>55</u>	<u>29</u>
<u>58</u>	<u>15</u>
<u>61</u>	<u>26</u>
<u>63</u>	<u>23</u>
<u>73</u>	<u>23</u>
<u>85</u>	<u>17</u>
<u>86</u>	<u>9</u>
<u>93</u>	<u>22</u>
<u>98</u>	<u>33</u>
<u>99</u>	<u>24</u>
<u>101</u>	<u>26</u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>
<u> </u>	<u> </u>

p.127 Black due
to misnumbering
of pages of Thesis

4. Thank you for your help in completing this study.

If you would like a copy of the results of this study, please give your name and address below.

Code numbers all schools wishing results of this study.

<u>13</u>	<u>30</u>	<u>52</u>	<u>64</u>	<u>83</u>	<u>94</u>	<u> </u>	<u> </u>	<u> </u>
<u>15</u>	<u>42</u>	<u>53</u>	<u>66</u>	<u>85</u>	<u>96</u>	<u> </u>	<u> </u>	<u> </u>
<u>18</u>	<u>44</u>	<u>55</u>	<u>67</u>	<u>86</u>	<u>101</u>	<u> </u>	<u> </u>	<u> </u>
<u>22</u>	<u>49</u>	<u>58</u>	<u>77</u>	<u>88</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u>23</u>	<u>50</u>	<u>61</u>	<u>78</u>	<u>91</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u>25</u>	<u>51</u>	<u>63</u>	<u>81</u>	<u>93</u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

APPENDIX D
CRITICAL VALUES OF CHI SQUARE

TABLE G. CRITICAL VALUES OF CHI SQUARE

df	Level of significance for a directional test					
	.10	.05	.025	.01	.005	.0005
	Level of significance for a non-directional test					
	.20	.10	.05	.02	.01	.001
1	1.64	2.71	3.84	5.41	6.64	10.83
2	3.22	4.60	5.99	7.82	9.21	13.82
3	4.64	6.25	7.82	9.84	11.34	16.27
4	5.99	7.78	9.49	11.67	13.28	19.46
5	7.29	9.24	11.07	13.39	15.09	20.52
6	8.56	10.64	12.59	15.03	16.81	22.46
7	9.80	12.02	14.07	16.62	18.48	24.32
8	11.03	13.36	15.51	18.17	20.09	26.12
9	12.24	14.68	16.92	19.68	21.67	27.88
10	13.44	15.99	18.31	21.16	23.21	29.59
11	14.63	17.29	19.68	22.62	24.72	31.26
12	15.81	18.55	21.03	24.05	26.22	32.91
13	16.98	19.81	22.36	25.47	27.69	34.53
14	18.15	21.06	23.68	26.87	29.14	36.12
15	19.31	22.31	25.00	28.26	30.58	37.70
16	20.46	23.54	26.30	29.63	32.00	39.29
17	21.62	24.77	27.59	31.00	33.41	40.75
18	22.76	25.99	28.87	32.35	34.80	42.31
19	23.90	27.20	30.14	33.69	36.19	43.82
20	25.04	28.41	31.41	35.02	37.57	45.32
21	26.17	29.62	32.67	36.34	38.93	46.80
22	27.30	30.81	33.92	37.66	40.29	48.27
23	28.43	32.01	35.17	38.97	41.64	49.73
24	29.55	33.20	36.42	40.27	42.98	51.18
25	30.68	34.38	37.65	41.57	44.31	52.62
26	31.80	35.56	38.88	42.86	45.64	54.05
27	32.91	36.74	40.11	44.14	46.96	55.48
28	34.03	37.92	41.34	45.42	48.28	56.89
29	35.14	39.09	42.69	46.69	49.59	58.30
30	36.25	40.26	43.77	47.96	50.89	59.70
32	38.47	42.59	46.19	50.49	53.49	62.49
34	40.68	44.90	48.60	53.00	56.06	65.25
36	42.88	47.21	51.00	55.49	58.62	67.99
38	45.08	49.51	53.38	57.97	61.16	70.70
40	47.27	51.81	55.76	60.44	63.69	73.40
44	51.64	56.37	60.48	65.34	68.71	78.75
48	55.99	60.91	65.17	70.20	73.68	84.04
52	60.33	65.42	69.83	75.02	78.62	89.27
56	64.66	69.92	74.47	79.82	83.51	94.46
60	68.97	74.40	79.08	84.58	88.38	99.61

The table lists the critical values of chi square for the degrees of freedom shown at the left for tests corresponding to those significance levels which head each column. If the observed value of χ^2_{obs} is greater than or equal to the tabled value, reject H_0 . All chi squares are positive.

Source: Table G is taken from Table IV of Fisher and Yates, *Statistical Tables for Biological, Agricultural and Medical Research*, published by Longman Group Ltd., London (previously published by Oliver and Boyd, Ltd., Edinburgh), and by permission of the authors and publishers.

APPENDIX E
CRITICAL VALUES OF t

TABLE B. CRITICAL VALUES OF t

df	Level of significance for a directional (one-tailed) test					
	.10	.05	.025	.01	.005	.0005
	Level of significance for a non-directional (two-tailed) test					
	.20	.10	.05	.02	.01	.001
1	3.078	6.314	12.706	31.821	63.657	636.619
2	1.886	2.920	4.303	6.965	9.925	31.598
3	1.638	2.353	3.182	4.541	5.841	12.941
4	1.533	2.132	2.776	3.747	4.604	8.610
5	1.476	2.015	2.571	3.365	4.032	6.859
6	1.440	1.943	2.447	3.143	3.707	5.959
7	1.415	1.895	2.365	2.998	3.499	5.405
8	1.397	1.860	2.306	2.896	3.355	5.041
9	1.383	1.833	2.262	2.821	3.250	4.781
10	1.372	1.812	2.228	2.764	3.169	4.587
11	1.363	1.796	2.201	2.718	3.106	4.437
12	1.356	1.782	2.179	2.681	3.055	4.318
13	1.350	1.771	2.160	2.650	3.012	4.221
14	1.345	1.761	2.145	2.624	2.977	4.140
15	1.341	1.753	2.131	2.602	2.947	4.073
16	1.337	1.746	2.120	2.583	2.921	4.015
17	1.333	1.740	2.110	2.567	2.898	3.965
18	1.330	1.734	2.101	2.552	2.878	3.922
19	1.328	1.729	2.093	2.539	2.861	3.883
20	1.325	1.725	2.086	2.528	2.845	3.850
21	1.323	1.721	2.080	2.518	2.831	3.819
22	1.321	1.717	2.074	2.508	2.819	3.792
23	1.319	1.714	2.069	2.500	2.807	3.767
24	1.318	1.711	2.064	2.492	2.797	3.745
25	1.316	1.708	2.060	2.485	2.787	3.725
26	1.315	1.706	2.056	2.479	2.779	3.707
27	1.314	1.703	2.052	2.473	2.771	3.690
28	1.313	1.701	2.048	2.467	2.763	3.674
29	1.311	1.699	2.045	2.462	2.756	3.659
30	1.310	1.697	2.042	2.457	2.750	3.646
40	1.303	1.684	2.021	2.423	2.704	3.551
60	1.296	1.671	2.000	2.390	2.660	3.460
120	1.289	1.658	1.980	2.358	2.617	3.373
∞	1.282	1.645	1.960	2.326	2.576	3.291

The value listed in the table is the critical value of t for the number of degrees of freedom listed in the left column for a directional (one-tailed) or nondirectional (two-tailed) test at the significance level indicated at the top of each column. If the observed t is greater than or equal to the tabled value, reject H_0 . Since the t distribution is symmetrical about $t = 0$, these critical values represent both $+$ and $-$ values for nondirectional tests.

Source: Table B is taken from Table III of Fisher and Yates, *Statistical Tables for Biological, Agricultural and Medical Research*, published by Longman Group Ltd., London (previously published by Oliver and Boyd, Ltd., Edinburgh), and by permission of the authors and publishers.

APPENDIX F
TABLE TO ENTER DATA FOR
HYPOTHESES

TABLE TO ENTER DATA FOR HYPOTHESES

Hypothesis		YES	NO
1. All boards of education evaluated the high school principal.	Expected	65	0
	Actual	<u>35</u>	<u>28</u>
Chi square = 36.98			
Degrees of freedom = 1			
2. No board of education evaluated the high school principal.		YES	NO
	Expected	0	65
	Actual	<u>35</u>	<u>28</u>
Chi square = 49.70			
Degrees of freedom = 1			
3. Evaluation of the high school principal by boards of education was random.		YES	NO
	Expected	32.5	32.5
	Actual	<u>35</u>	<u>28</u>
Chi square = 0.3961			
Degrees of freedom = 1			
4. All board of education answering "yes" to evaluating the high school principal informally.		FORMALLY	INFORMALLY
	Expected	35	0
	Actual	<u>15</u>	<u>20</u>
Chi square = 28.00			
Degrees of freedom = 1			
5. All boards of education answering "yes" to evaluating the high school principal informally.		FORMALLY	INFORMALLY
	Expected	0	35
	Actual	<u>15</u>	<u>20</u>
Chi square = 19.09			
Degrees of freedom = 1			

		FORMALLY	INFORMALLY
6. Whether or not the board of education evaluated the high school principal formally or informally it was chance.	Expected	17.5	17.5
	Actual	<u>15</u>	<u>20</u>

Chi square = 0.3589

Degrees of freedom = 1

7. Boards of education formally evaluating the high school principal used the same number of sources as boards of education informally evaluating the high school principal.

t test t = 0.62 p = 0.5405 not significant

degrees of freedom = number of boards responding minus one.

NUMBER OF SOURCES

District	Formal	District	Informal
12	29	11	19
19	7	18	22
37	23	21	11
41	17	23	26
42	19	25	15
50	21	26	33
51	27	30	15
53	21	33	33
64	24	39	9
68	28	55	29
70	16	58	15
72	1	61	26
90	24	63	23
92	15	73	23
96	30	85	17
		86	9
		93	22
		98	33
		99	24
		101	26

8. For Data Used for Evaluation (A-AK) its relative importance is the same for boards of education formally evaluating the high school principal as for boards of education informally.

		FORMAL	INFORMAL
A. The number of positive or negative comments received from parents or community members.	Yes (checked)	7	15
	No (blank)	8	5

Chi square = 2.947

p = 0.0860

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
B. The number of positive or negative comments received from students.	Yes (checked)	4	9
	No (blank)	11	11

Chi square = 1.234

p = 0.2666

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
C. The number of positive or negative comments received from teachers.	Yes (checked)	8	13
	No (blank)	7	7

Chi square = 0.486

p = 0.4857

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
D. The number of positive or negative comments received from support staff (secretaries, janitors, cooks, bus drivers, aides,).	Yes (checked)	6	6
	No (blank)	9	14

Chi square = 0.380

p = 0.5374

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
E. The number of hours the principal's willing to work.	Yes (checked)	9	13
	No (blank)	6	7

Chi square = 0.092

p = 0.7619

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
F. Superintendent's formal or informal evaluation of principal.	Yes (checked)	11	19
	No (blank)	4	1

Chi square = 3.286

p = 0.0699

degrees of freedom = 1

not significant

G. The number of conflicts the principal creates.

	FORMAL	INFORMAL
Yes (checked)	5	8
No (blank)	10	12

Chi square = 0.163

p = 0.6863

degrees of freedom = 1

not significant

H. Personality

	FORMAL	INFORMAL
Yes (checked)	11	13
No (blank)	4	7

Chi square = 0.276

p = 0.5992

degree of freedom = 1

not significant

I. Groomed appearance.

	FORMAL	INFORMAL
Yes (checked)	7	12
No (blank)	8	8

Chi square = 0.614

p = 0.4333

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
J. Moral character	Yes (checked)	8	12
	No (blank)	7	8

Chi square = 0.156

p = 0.6933

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
K. Family life.	Yes (checked)	3	4
	No (blank)	12	16

Chi square = 0.000

p = 1.000

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
L. Community and civic involvement.	Yes (checked)	7	9
	No (blank)	8	11

Chi square = 0.010

p = 0.922

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
M. Respect or trust Board has for principal.	Yes (checked)	12	18
	No (blank)	3	2

Chi square = 0.7000_

p = 0.4028

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
N. Knowledge of methods of teaching.	Yes (checked)	8	12
	No (blank)	7	8

Chi square = 0.156

p = 0.6933

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
O. Knowledge of current educational improvements.	Yes (checked)	12	14
	No (blank)	3	6

Chi square = 0.449__

p = 0.5029

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
P. Long range plans for curriculum changes.	Yes (checked)	12	15
	No (blank)	3	5

Chi square = 0.122

p = 0.7274

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
Q. Student test scores on national and state test.	Yes (checked)	3	3
	No (blank)	12	17

Chi square = 0.151

p = 0.6977

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
R. Ability to improve curriculum	Yes (checked)	11	15
	No (blank)	4	5

Chi square = 0.012

p = 0.9111

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
S.	Ability to recognize problems with the instructional program. (checked)		
	Yes	12	16
	No (blank)	3	4

Chi square = 0.000

p = 1.000

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
T.	Students' ability to compete in academic competition. (checked)		
	Yes	3	6
	No (blank)	12	14

Chi square = 0.449

p = 0.5029

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
U.	Students' ability to compete in athletic competition. (checked)		
	Yes	1	1
	No (blank)	14	19

Chi square = 0.044

p = 0.8335

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
V.	Ability to improve and/or maintain school social climate. (checked)		
	Yes	11	14
	No (blank)	4	6

Chi square = 0.047

p = 0.8290

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
W.	Ability to manage school facilities.		
	Yes (checked)	11	4
	No (blank)	14	6

Chi square = 0.047

p = 0.8290

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
X.	Ability to manage student discipline within the school.		
	Yes (checked)	14	20
	No (blank)	1	0

Chi square = 1.373

p = 0.2414

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
Y. Number of conflicts with parents.	Yes (checked)	6	8
	No (blank)	9	12

Chi square = 0.000

p = 1.0000

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
Z. Number of conflicts with students.	Yes (checked)	6	7
	No (blank)	9	13

Chi square = 0.092

p = 0.7619

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AA. Number of conflicts with teachers.	Yes (checked)	7	7
	No (blank)	8	13

Chi square = 0.486

p = 0.4857

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AB. Number of conflicts with support staff.	Yes (checked)	5	5
	No (blank)	10	15

Chi square = 0.292

p = 0.5892

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AC. Number of conflicts with superintendent.	Yes (checked)	7	10
	No (blank)	8	10

Chi square = 0.038

p = 0.8452

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AD. Number of conflicts with Board of Education.	Yes (checked)	4	10
	No (blank)	11	10

Chi square = 1.944

p = 0.1632

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AE. Ability to work with groups.	Yes (checked)	9	14
	No (blank)	6	6

Chi square = 0.380

p = 0.5374

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AF. Ability to work face to face with people.	Yes (checked)	10	18
	No (blank)	5	2

Chi square = 2.917

p = 0.0877

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AG. Ability to promote cooperation among employees.	Yes (checked)	10	16
	No (blank)	5	4

Chi square = 0.798

p = 0.3718

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AH. Ability to solve problems and manage conflicts.	Yes (checked)	13	19
	No (blank)	2	1

Chi square = 0.760

p = 0.3835

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AI. Ability to predict outcome of change or conflict situations.	Yes (checked)	5	8
	No (blank)	10	12

Chi square = 0.163

p = 0.6863

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AJ. Ability to delegate duties.	Yes (checked)	11	11
	No (blank)	4	9

Chi square = 1.234

p = 0.2666

degrees of freedom = 1

not significant

		FORMAL	INFORMAL
AK. Ability to improve teacher performance.	Yes (checked)	13	17
	No (blank)	2	3

Chi square = 0.019

p = 0.08891

degrees of freedom = 1

not significant

APPENDIX G

TABLE A

Table A
Criteria and Source of Information
Used to Evaluate the High School Principal

Number Check	Per- cent	Number Assigned	Item
34	97.1	1	X. Ability to manage student discipline with- in the school.
32	91.4	2	AH. Ability to solve problems and manage conflict.
30	85.7	4	AK. Ability to improve teacher performance.
30	85.7	4	M. Respect or trust board has for principal.
30	85.7	4	F. Superintendent's formal or informal evaluation of principal.
28	80.0	6.5	AF. Ability to work face to face with people.
28	80.0	6.5	S. Ability to recognize problems with the instructional program.
27	77.1	8	P. Long range plans for curriculum changes.
26	74.3	10	R. Ability to improve curriculum.
26	74.3	10	O. Knowledge of current educational improvements.
26	74.3	10	AG. Ability to promote cooperation among employees.
25	71.4	12.5	W. Ability to manage school facilities.
25	71.4	12.5	V. Ability to improve and/or maintain school social climate.
24	68.6	14	H. Personality.
23	65.7	15	AE. Ability to work with groups.
22	62.9	17	AJ. Ability to delegate duties.
22	62.9	17	E. The number of hours the principal is willing to work.
22	62.9	17	A. The number of positive or negative comments received from parents or community members.

Number Check	Per- cent	Number Assigned	Item
21	60.0	19	C. The number of positive or negative comments received from teachers.
20	57.1	20.5	N. Knowledge of methods of teaching.
20	57.1	20.5	J. Moral character.
19	54.3	22	I. Groomed appearance.
17	48.6	23	AC. Number of conflicts with superintendent.
16	45.7	24	L. Community and civic involvement.
14	40.0	26	AD. Number of conflicts with board of education.
14	40.0	26	AA. Number of conflicts with teachers.
14	40.0	26	Y. Number of conflicts with parents.
13	37.1	29.5	AI. Ability to predict outcome of change or conflict situations.
13	37.1	29.5	Z. Number of conflicts with students.
13	37.1	29.5	G. The number of conflicts the principal creates.
13	37.1	29.5	B. The number of positive or negative comments received from students.
12	34.3	30	D. The number of positive or negative comments received from support staff (secretaries, janitors, cooks, bus drivers, aides).
10	28.6	33	AB. Number of conflicts with support staff.
9	25.7	34	T. Students' ability to compete in academic competition.
7	20.0	35	K. Family life.
6	17.1	36	Q. Student test scores on national and state tests.
2	5.7	37	U. Students' ability to compete in athletic competition.